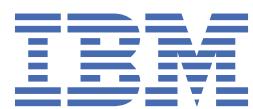


IBM OpenPages with Watson
Version 8.3.0

User Guide



Note

Before using this information and the product it supports, read the information in “[Notices](#)” on page 153.

Product Information

This document applies to IBM OpenPages with Watson Version 8.3.0 and may also apply to subsequent releases.

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Introduction

The *IBM OpenPages with Watson User Guide* is intended for use with OpenPages with Watson. This guide contains instructions for using the OpenPages with Watson application.

IBM OpenPages with Watson documentation

IBM® maintains one set of documentation serving IBM OpenPages® with Watson™, IBM OpenPages for IBM Cloud Pak for Data, and IBM OpenPages with Watson on Cloud deployments. The IBM OpenPages with Watson documentation describes certain features and functions which may not be available on the cloud.

If you have any questions about the functionality available in the product version that you are using, contact IBM OpenPages Support by using the [IBM Support portal](#).

Accessibility features

Accessibility features help users who have a physical disability, such as restricted mobility or limited vision, to use information technology products. OpenPages documentation has accessibility features. PDF documents are supplemental and include no added accessibility features.

Chapter 1. What's new?

New and changed features are available for IBM OpenPages with Watson.

For information about all new features for this release, see the *IBM OpenPages with Watson New Features Guide*.

New features in version 8.3.0.2

The new features in IBM OpenPages with Watson version 8.3.0.2 are described in the following tables.

For more information, see the *IBM OpenPages with Watson New Features Guide*.

UI enhancements

Table 1. Task Focused UI enhancements	
For information about...	See topic...
If you want to edit the disclaimer on a questionnaire template, you must modify the application text <code>questionnaire.intro.label.informationDetails</code> .	“Editing a questionnaire template” on page 89
When you edit Microsoft Office files directly from OpenPages, the View button is no longer displayed by default and the file is now checked out as soon as you click the Edit button.	“Adding and working with files (attachments) on objects” on page 76
You can use the content assist feature to help you add object variables to a questionnaire template.	“Adding object variables to a questionnaire template” on page 94

New features in version 8.3.0.1

The new features in IBM OpenPages with Watson version 8.3.0.1 are described in the following tables.

For more information, see the *IBM OpenPages with Watson New Features Guide*.

UI enhancements

Table 2. Task Focused UI enhancements	
For information about...	See topic...
Adding tags to categorize objects and perform searches based on those categories	“Adding and removing tags” on page 20
How respondents can choose to copy answers, comments, and attachments from an existing questionnaire assessment to save time	“Completing a questionnaire assessment” on page 99

New features in version 8.3.0

The new features in IBM OpenPages with Watson version 8.3.0 are described in the following tables.

For more information, see the *IBM OpenPages with Watson New Features Guide*.

Task Focused UI enhancements

Table 3. Task Focused UI enhancements

For information about...	See topic...
Enhancements to questionnaires	Chapter 10, “Questionnaires,” on page 85

Standard UI

The Standard UI has been removed.

The  > **Switch to Standard UI** menu item was removed.

New features in version 8.2.0.3

The new features in IBM OpenPages with Watson version 8.2.0.3 are described in the following tables.

Task Focused UI enhancements

Table 4. Task Focused UI enhancements

For information about...	See topic...
IBM Watson® Discovery was added as a natural language processing service.	“Natural language processing services ” on page 18
The ability to search for fields in Task Views, Creation Views, and Quick Views	“Navigating the UI” on page 9, “Opening a Quick View” on page 47
Administrators can now configure the fields that are available for bulk update in Grid Views.	“Applying changes to multiple objects with bulk update in a Grid View” on page 48
Users can now define report tabs on their dashboard. Previously, report tabs could be created only by administrators by using the Manage Dashboards task.	“Adding a Reports tab ” on page 34

New features in version 8.2.0.2

The new features in IBM OpenPages with Watson version 8.2.0.2 are described in the following tables.

Task Focused UI enhancements

Table 5. Task Focused UI enhancements

For information about...	See topic...
Applying a color theme by using the new  > Change Theme task.	“Changing your theme” on page 14
Improved usability for disassociating objects. Added a Remove button to grid relationship fields that have an Associate action.	“Completing work that is assigned to you” on page 37
Receiving email reminders when tasks are due or overdue.	“Completing work that is assigned to you” on page 37

Table 5. Task Focused UI enhancements (continued)

For information about...	See topic...
Completing workflow tasks in bulk: <ul style="list-style-type: none">• Using Grid Views to support bulk workflow actions.• Using the Complete tasks with bulk workflow actions window on the My Tasks tab and panel, the Subscription Tasks tab and panel, and the Oversight Tasks tab and panel.	“Completing bulk workflow actions in a Grid View” on page 44
Using the new  icon in Grid Views to move objects from one folder to another.	“Using Grid Views to find, open, and work with objects ” on page 35

New features in version 8.2.0.1

The new features in IBM OpenPages with Watson version 8.2.0.1 are described in the following tables.

IBM OpenPages for IBM Cloud Pak for Data

OpenPages can now be installed on IBM OpenPages for IBM Cloud Pak for Data.

Task Focused UI enhancements

Table 6. Task Focused UI enhancements

For information about...	See topic...
Using IBM Watson Language Translator to translate values in text fields to the language associated to your locale.	“Using IBM Watson Language Translator” on page 16
Opening and editing Microsoft Office documents directly from OpenPages.	“Adding and working with files (attachments) on objects” on page 76
Providing feedback on a Net Promoter Score (NPS) survey.	“Providing feedback using an NPS survey” on page 17
The Edit Mode toggle in was renamed to Reveal editable fields .	“Navigating the UI” on page 9
The Analytics button for IBM Cognos Analytics moved from the header to the Primary Menu.	“Using the Primary menu” on page 11
Safe mode can now be applied to Dashboards.	“Adding panels and widgets to your dashboard” on page 27

New features in version 8.2.0

The new features in IBM OpenPages with Watson version 8.2.0 are described in the following tables.

For more information, see the *IBM OpenPages with Watson New Features Guide*.

Task Focused UI enhancements

Table 7. Task Focused UI enhancements

For information about...	See topic...
The new IBM OpenPages Business Continuity Management solution.	Chapter 21, “Using OpenPages Business Continuity Management,” on page 151
Accessing IBM Watson Assistant with the  icon.	“Navigating the UI” on page 9
The review process for questionnaire assessments can now be driven by GRC Workflow.	“Questionnaire overview” on page 85
Ad hoc questionnaire assessments.	“Creating an ad hoc questionnaire assessment” on page 103
Classifier fields are now displayed using an IBM Watson Insights button and panel.	“Natural language processing services ” on page 18 “Creating objects from a Grid View” on page 57
Gantt charts on dashboards.	“Adding a chart panel ” on page 28
New method type and aggregation field for sum, average, min, and max on charts on Dashboards.	“Adding a chart panel ” on page 28
Activity tab on Task Views.	“Viewing change history on the Activity tab” on page 50
The Delete button in a grid layout in a Task View.	“Completing work that is assigned to you” on page 37
When defining private filters on Grid Views, the new Show hidden values toggle controls whether hidden values for enumerated value fields are displayed.	“Defining private filters ” on page 66
A Reports panel on the dashboard can now list all reports by category, depending on how the new field Data Source is set.	“Adding a Reports panel ” on page 31
A Search panel on the dashboard uses global search to find information.	“Searching for objects using global search ” on page 74
How GRC Calculations are handled in Creation Views and Task Views.	“Creating objects from a Grid View” on page 57 “Completing work that is assigned to you” on page 37
Check in and check out functionality for files was made more consistent.	“Adding and working with files (attachments) on objects” on page 76

Standard UI enhancements

The **Process Portal** on the Home page has been removed. It supported the integration of IBM OpenPages with Watson with IBM Business Process Manager, which has been removed.

Solution enhancements

See the *IBM OpenPages with Watson Solutions Guide* for a complete list of all the changes to solutions.

New features in version 8.1.0.1

The new features in IBM OpenPages with Watson version 8.1.0.1 are described in the following tables.

For more information, see the *IBM OpenPages with Watson New Features Guide*.

Task Focused UI enhancements

Table 8. Task Focused UI enhancements	
For information about...	See topic...
Opening an object in a Quick View from a grid relationship field or tree diagram in a Task View. A Quick View is a Task View (or Creation View) that is displayed in a small sidebar.	“Opening a Quick View” on page 47 “Viewing information in a tree diagram” on page 42
Using bulk update in Grid Views to edit field values across multiple objects.	“Applying changes to multiple objects with bulk update in a Grid View” on page 48
The overall look and feel of the Task Focused UI changed due to an upgrade in the underlying infrastructure. Some icons changed and some buttons are larger than in previous releases.	

Solution enhancements

See the *IBM OpenPages with Watson Solutions Guide* for a complete list of all the changes to solutions.

New features in version 8.1.0

The new features in IBM OpenPages with Watson version 8.1.0 are described in the following tables.

For more information, see the *IBM OpenPages with Watson New Features Guide*.

Task Focused UI enhancements

Table 9. Task Focused UI enhancements	
For information about...	See topic...
The new Analytics link in the banner that enables access to the IBM Cognos Analytics.	“Navigating the UI” on page 9
The new dashboard that personalizes information and tasks for your requirements.	“Using the Dashboard” on page 21
Configuring panels on the new dashboard.	“Adding panels and widgets to your dashboard” on page 27
Defining private filters in Grid Views, using folder filters (Business Entity), and enhanced functionality in other filters.	Chapter 6, “Using filters in Grid Views,” on page 63 “Using Grid Views to find, open, and work with objects” on page 35
Exporting a list of objects in a Grid View to an Microsoft Excel workbook that is in FastMap format.	“Using Grid Views to find, open, and work with objects” on page 35

Table 9. Task Focused UI enhancements (continued)

For information about...	See topic...
When adding files (attachments), multiple versions of the same file can now be added, viewed, and downloaded.	“Completing work that is assigned to you” on page 37
The Edit Mode toggle in Task Views.	“Completing work that is assigned to you” on page 37
Enhancements to key items and the new ability to validate actions by using Select an action to validate in a user guidance panel.	“Validating a workflow action” on page 43
Business entity selector fields are now supported in Grid Views, Creation Views, and Task Views.	
If single sign-on (SSO) is used, system notices display on the dashboard.	“Using the Dashboard” on page 21
Changing the reporting period.	“Changing the reporting period” on page 15

Solution enhancements

See the *IBM OpenPages with Watson Solutions Guide* for a complete list of all the changes to solutions.

Chapter 2. Getting started with the UI

Learn to navigate the UI to access information, change your password, locale, profile and theme.

Using the UI

You use the UI to complete tasks that are assigned to you and to find information in OpenPages.

If you are an implementer or administrator who is responsible for defining views in the UI, see the topic *Configuring the UI* in the *IBM OpenPages with Watson Administrator's Guide*.

If you are an implementer or administrator who is responsible for defining workflows, see the topic *Configuring GRC Workflow* in the *IBM OpenPages with Watson Administrator's Guide*.

Logging in to IBM OpenPages for IBM Cloud Pak for Data

Use this procedure to log in to IBM OpenPages for IBM Cloud Pak for Data.

About this task

Before you log in, get the URL for the instance of IBM OpenPages for IBM Cloud Pak for Data from your administrator and the user name and password.

Procedure

1. Open a supported web browser. In the **Location bar**, enter the URL for the instance of IBM OpenPages for IBM Cloud Pak for Data, for example:

`https://your-server.com/openpages-openpagesinstance1/`

2. Type your user name and password.
3. Click **Log in**.

You are automatically logged in to OpenPages.

Results

The UI opens.

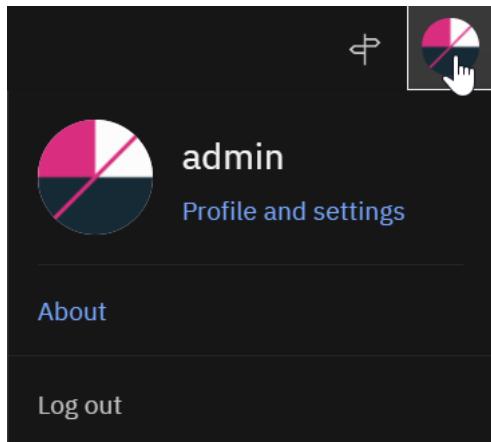
What to do next

Complete your work. When you are finished, you can log out by performing the following steps:

1. Delete the text following the server name in the **Location bar** of your browser. For example, change `https://your-server.com/openpages-openpagesinstance1/` to `https://your-server.com/`.

The Cloud Pak for Data interface is displayed.

2. Click the **Profile and settings** button in the upper right of the screen.



3. When the menu is displayed, click **Log out**.
4. When prompted to confirm that you want to log out, click **Log out**.

Logging in

You can log in to IBM OpenPages with Watson by using the UI.

About this task

Before you log in, obtain the OpenPages with Watson URL for the UI and the user name and password if single sign-on is not configured.

Procedure

1. Open Google Chrome or Microsoft Edge. In the **Location bar** enter the OpenPages with Watson URL for the UI, for example:
`https://opserver:10111/openpages/app/jspview/react/grc`
2. Type your user name and password. If these fields are not displayed, single sign-on is configured and the system opens.
3. Click **Log In**.

Results

The UI opens.

What to do next

Complete your work. When you are finished, click  to open the **User** menu, and click **Log Out**.

Logging out

You can end a session and exit the application.

About this task

It is a best practice to log out rather than simply close the browser window.

OpenPages automatically times out and closes after a period of system inactivity.

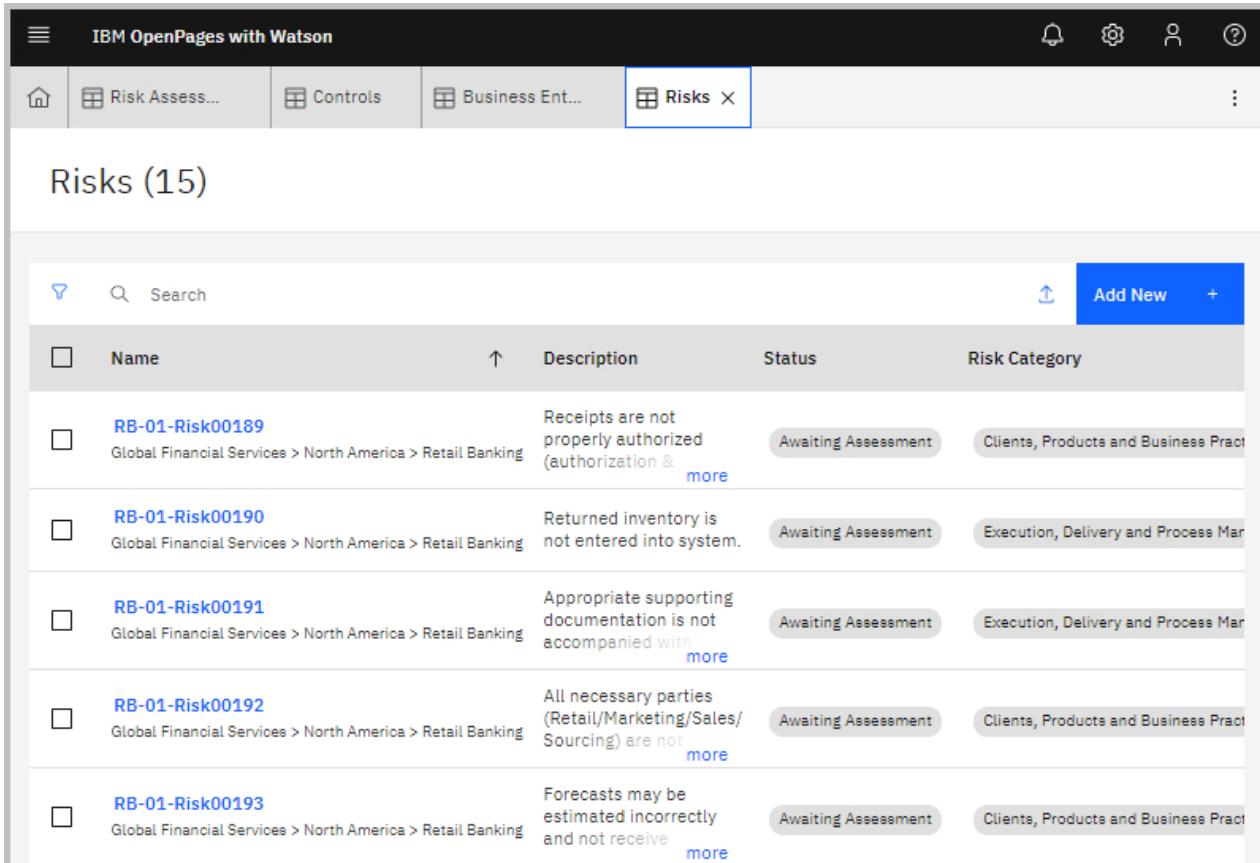
If you attempt to perform an operation after OpenPages has timed out, the system automatically moves to the Log On page where you can log on again.

Procedure

1. Click  to open the User menu.
2. Click **Log Out**.

Navigating the UI

The UI is easy to navigate and simple to use.



The screenshot shows the IBM OpenPages with Watson interface. At the top, there's a navigation bar with icons for Home, Risk Assess..., Controls, Business Ent..., Risks (which is selected and highlighted with a blue border), and a more options menu. Below the navigation bar, the title "Risks (15)" is displayed. Underneath, there's a search bar with a magnifying glass icon and a "Search" button, followed by a "Add New" button with a plus sign. The main area is a table listing 15 risks:

<input type="checkbox"/>	Name	Description	Status	Risk Category
<input type="checkbox"/>	RB-01-Risk00189 Global Financial Services > North America > Retail Banking	Receipts are not properly authorized (authorization & more)	Awaiting Assessment	Clients, Products and Business Pract
<input type="checkbox"/>	RB-01-Risk00190 Global Financial Services > North America > Retail Banking	Returned inventory is not entered into system.	Awaiting Assessment	Execution, Delivery and Process Mar
<input type="checkbox"/>	RB-01-Risk00191 Global Financial Services > North America > Retail Banking	Appropriate supporting documentation is not accompanied with more	Awaiting Assessment	Execution, Delivery and Process Mar
<input type="checkbox"/>	RB-01-Risk00192 Global Financial Services > North America > Retail Banking	All necessary parties (Retail/Marketing/Sales/ Sourcing) are not more	Awaiting Assessment	Clients, Products and Business Pract
<input type="checkbox"/>	RB-01-Risk00193 Global Financial Services > North America > Retail Banking	Forecasts may be estimated incorrectly and not receive more	Awaiting Assessment	Clients, Products and Business Pract

Figure 1. Example of the UI

The UI has the following components:

Table 10. UI Components	
UI components	Description
IBM OpenPages with Watson	Opens the Home page in the work area. For information, see “Using the Home page” on page 21 .
	Opens the Home page in the work area. For information, see “Using the Home page” on page 21 .
	Opens the Primary menu. For information, see “Using the Primary menu” on page 11 .

Table 10. UI Components (continued)

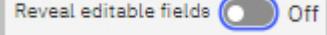
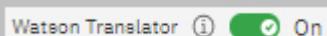
UI components	Description
Navigation Bar	<p>The Navigation Bar contains  and a tab for each view you have open.</p> <p>For information, see “Using the Navigation Bar” on page 12.</p>
	<p>Opens a list of notifications that come from views and workflow. Like alerts, the list includes errors and warnings that you need to be aware of. Notifications are displayed for only the current session and are cleared when the session ends. Up to 50 can be displayed.</p> <p>The list does not include notifications about work you need to complete. Instead, use the Home page and dashboard. For information, see “Using the Home page” on page 21.</p>
	Opens the Administration menu.
	Opens the User menu.
 	<p>Opens a chat bot where you can ask questions using IBM Watson Assistant. Only displays if an assistant is configured and you are allowed to access it.</p> <p>For information, see “Using IBM Watson Assistant” on page 15.</p>
	<p>In a Task View or Creation View, you can search for fields in the view.</p> <p>In a Grid View, you can search for objects in the grid.</p>
 	<p>In a Task View or Quick View, turns on edit mode. You can press tab to move from field to field. The Reveal editable fields toggle is hidden in certain situations, for example, the object is locked or you do not have access control permission to edit it.</p>
 	<p>In a Task View, values in text fields are translated to the language associated to your locale.</p> <p>For more information, see “Using IBM Watson Language Translator” on page 16.</p>
	<p>Opens a Net Promoter Score (NPS) survey where you can provide product feedback to IBM. If you are eligible to receive a survey, it is always displayed on the Home page. You can provide feedback at any time and as often as you want. You might also periodically be prompted to submit a survey when you log in.</p> <p>For more information, see “Providing feedback using an NPS survey” on page 17.</p>

Table 10. UI Components (continued)

UI components	Description
Work area	<p>The work area displays your dashboard, a task tab, or a view.</p> <p>For information, see:</p> <ul style="list-style-type: none"> • “Using the Dashboard” on page 21 • “Using the My Tasks tab” on page 23 • “Using the Subscription Tasks tab” on page 24 • “Using the Oversight Tasks tab” on page 25 • “Using Grid Views to find, open, and work with objects ” on page 35 • “Creating objects from a Grid View” on page 57 • “Completing work that is assigned to you” on page 37
⋮	Contains options that close all tabs or let you open a specific tab.
	<p>Opens a menu that is used to configure dashboard panels.</p> <p>For more information, see “Adding panels and widgets to your dashboard” on page 27.</p>
Browser back button	Opens the last web page that is stored in the session.
Browser forward button	Moves forward in the web page browser session history.

Using the Primary menu

The Primary menu lists the categories of object types that you can access in IBM OpenPages with Watson. Expand and collapse the categories to see the object types.

Depending on your configuration, **Analytics** might display as the first menu item. Click it to open IBM Cognos Analytics.

When you click an object type, for example, Organization, a list of objects opens. For information, see “Using Grid Views to find, open, and work with objects ” on page 35.

The screenshot shows the IBM OpenPages with Watson application window. At the top, there's a navigation bar with tabs: 'Analytics' (which is selected and highlighted in blue), 'Controls', 'Business Ent...', and a more options menu. Below the navigation bar is a sidebar containing a hierarchical menu with expandable dropdowns for categories like Organization, Audit Management, Assessments, Assets, Vendors, Inventory, Reviews, Regulatory Compliance, Compliance, Policy Management, Events, Capital Modeling, Indicators, Financial, Business Continuity, Remediation, and Attachments. To the right of the sidebar is a main content area titled '(336)'. This area contains a table with columns: Description, Executive Owner, Risk Appetite, and In Scope. The table lists several entries, such as 'Legal Entity' (Owner: Abrucca Limited), 'Africa and Middle East' (Owner: OpenPagesAdministrator), 'Organisational Unit' (Owner: Agency Services), and another 'Organisational Unit' entry. A blue button labeled 'Add New +' is located at the top right of the content area.

Figure 2. Example of the Primary menu

Using the Navigation Bar

The Navigation Bar contains and a tab for each view you have open. Click the tabs to switch between the views.

The screenshot shows the navigation bar of the IBM OpenPages with Watson application. It features a dark header with the title 'IBM OpenPages with Watson'. Below the title are five tabs: 'Home' (represented by a house icon), 'Business Ent...', 'Risks', 'Controls' (which is the active tab and has a blue underline), and '+ New Control'. On the far right of the navigation bar are icons for notifications, settings, user profile, and help.

Figure 3. Example of the Navigation Bar

The icons are described in the following table:

Table 11. Icons on the Navigation Bar	
Icon	Description
	Opens the Home page in the work area. For information, see “Using the Home page” on page 21 .
	The tab is a view that lists objects for the selected object type. This type of view is called a Grid View.
	The tab is a view where an object is being created but is not open for editing. This type of view is called a Creation View.
	The tab is a view where an object is being created and is open for editing. This type of view is called a Creation View.

Table 11. Icons on the Navigation Bar (continued)

Icon	Description
	The tab is a view where a task is being completed but the object is not open for editing. This type of view is called a Task View.
	The tab is a view where a task is being completed and the object is open for editing. This type of view is called a Task View.
	Allows you to choose a tab or close all open tabs on the Navigation Bar.

An object can be open for editing in only one view. If an object is open for editing in a view and you try to open it in a second view, a warning is issued.

Changing your locale

You can change your locale setting. This changes the language of the user interface, as well as the display format for numbers and dates.

About this task

Procedure

1. Click to open the User menu.
2. Click **Change Locale** and select a language.
3. Click **Save**.

Changing your password

You can change your password.

Procedure

1. Click to open the User menu.
2. Click **Change Password**.
3. Type the old password in **Current Password**.
4. Specify a new password in **New Password** and confirm it.

Note the following password requirements:

- The maximum length is 32 characters.
- Passwords are case-sensitive.
- If your company uses single signon or LDAP, you cannot change a password with IBM OpenPages with Watson. You must change it with the single signon or LDAP application.

5. Click **Save**.

Changing your profile

A profile determines the look and feel of the user experience in the UI. It determines the contents of the Dashboard and the layout and contents of all views, and any filters available for use in the Grid View. Your administrator configures one or more profiles for you, which can be tailored to a specific task.

About this task

If your administrator set you up with multiple profiles, you can change profiles by using **Change Profiles** on the User menu.

Important: Ensure that you save your work before you change your profile.

This video demonstrates how users can easily switch from one profile to another:

<https://youtu.be/NQ38cb-4YFg>

Procedure

1. Click  to open the User menu.
2. Click **Change Profiles**. If you have more than one profile, **Change Profiles** appears on the menu with an indented list of available profiles.
3. Select the profile that you want.
4. Click **Save**.

What to do next

The change takes effect immediately without having to log off. After you change profiles, the Dashboard and the functionality of views might change.

Changing your theme

A theme determines the color design that is applied in the UI. Your administrator can configure one or more themes for you to use.

About this task

If you choose no theme, a default theme is applied for you.

After you choose a theme, it is retained the next time you log in.

Procedure

1. Click  to open the User menu.
2. Click **Change Theme**.
3. Select a theme.
4. Click **Save**.

Results

The change takes place immediately.

Changing the reporting period

You can view data for a current and past reporting period. However, you can only modify data in the current reporting period.

About this task

If past reporting periods are defined, you can change the reporting period in the UI.

If the **Change Reporting Period** option on the User menu is not displayed, there is only one reporting period (the current reporting period).

Procedure

1. Open the object that you want to work with.

2. Click  to open the User menu.

The reporting period that is currently chosen is displayed above **Change Reporting Period**.

3. Click **Change Reporting Period**.

4. Select a reporting period.

5. Click **Save**.

The view is refreshed based on the reporting period. If you switch to a past reporting period, the object becomes read-only. Fields cannot be changed and workflows can be neither started nor advanced.

What to do next

Repeat the steps to select the current reporting or another past reporting period. If you switch to the current reporting period, the object becomes editable and workflows can be started and advanced.

Using IBM Watson Assistant

Use IBM Watson Assistant to access 24-hour support for OpenPages.

IBM Watson Assistant is a chat bot that provides interactive text answers, natural language search, and direct links to specific pages in OpenPages, for example, to a Creation View where you can enter an Issue or Loss Event.

When IBM Watson Assistant is configured and you have permission to access it, the  icon is displayed on all pages in the UI.

Click  and ask a question in the chat bot.

Show me how

This video provides an overview of using IBM Watson Assistant.

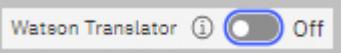
<https://youtu.be/NbvU-UdJ6Aw>

Using IBM Watson Language Translator

Use IBM Watson Language Translator to translate values in text fields to the language associated to your locale.

How users interact with IBM Watson Language Translator

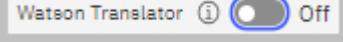
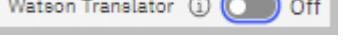
Users can work with translated text by using the  and  icons in Task Views.

In a Task View, a user can click . Values in text fields are translated to the language associated to their locale. For each field that is translated, the user can toggle between the languages by clicking **View Original** and **View Translation**. Click the Info icon to view a confidence score.

Click  to turn off translated values.

- Text field values (simple strings and long strings) are translated. Rich text fields and enumerated field values are not translated.
- There is no differentiation between US and UK English.
- Translated values on a Task View cannot be edited.
- They are not saved to the object.

Example 1: a user's locale is set to US English. The user views regulatory change objects in a Task View.

- First, the user views a regulatory change object that came from a French regulatory body. It contains field values in French. The user clicks the  icon. Text field values in French are translated to English.
- Next, the user views a regulatory change object that came from an EU regulatory body. It contains text field values in English, French, and Portuguese. The user clicks the  icon. The text field values in English remain unchanged. The text field values in French and Portuguese are translated into English.

Example 2: a user's locale is set to Japanese. The user views regulatory change objects in a Task View.

- First, the user views a regulatory change object that came from a US regulatory body. It contains field values in English. The user clicks the  icon. Text field values in English are translated into Japanese.
- Next, the user views a regulatory change object that came from an EU regulatory body. It contains field values in English, French, and Portuguese. The user clicks the  icon. Text field values are translated into Japanese.

AI models

Depending on how OpenPages is configured, you might be able to use AI models to gain insights about data.

AI models use data in OpenPages to generate predictions or insights, which you can then view in OpenPages.

When an AI model is available for a field, you'll see a link. Click the link to run the model and generate insights. The results are displayed in the **Insights** panel:

The screenshot shows the 'Control Creation' view in IBM OpenPages with Watson. The main area displays a form for creating a new control, including fields for Name, Description, Status, Control Owner, Classification, Domain, and Risk. On the right side, a vertical panel titled 'Cognitive Controls insights' provides analysis results for the control being created. The results are categorized into Who, What, When, and Why, each with a confidence score and a brief description.

Figure 4. An example of a Control view displaying the **Insights** panel

Providing feedback using an NPS survey

If a Net Promoter Score survey has been configured, you can send feedback about OpenPages to IBM.

User feedback helps IBM improve OpenPages.

If a Net Promoter Score survey is enabled, you are presented with two possibilities to complete a survey:

- An NPS Feedback button
- An NPS survey form after logging in

An NPS Feedback button is always displayed on the Home page if you are eligible to receive it. You can provide feedback at any time and as often as you want.

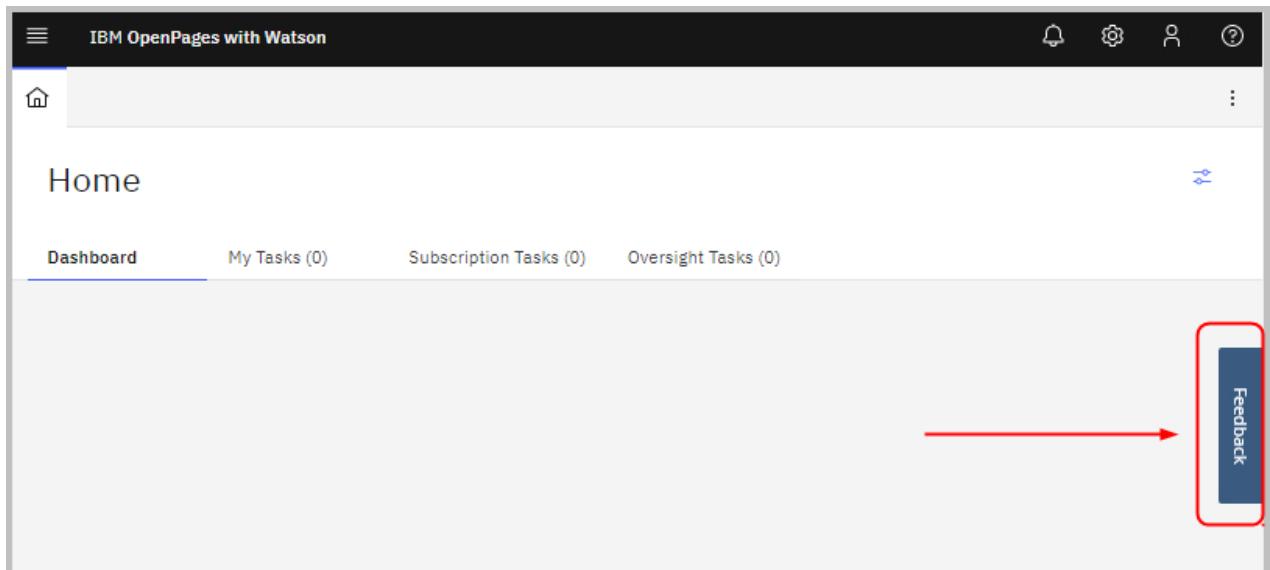


Figure 5. NPS Feedback button on the Home page

An NPS survey form might be displayed when you log in. Whether you receive a survey and how frequently is determined by the configuration and the survey provider.

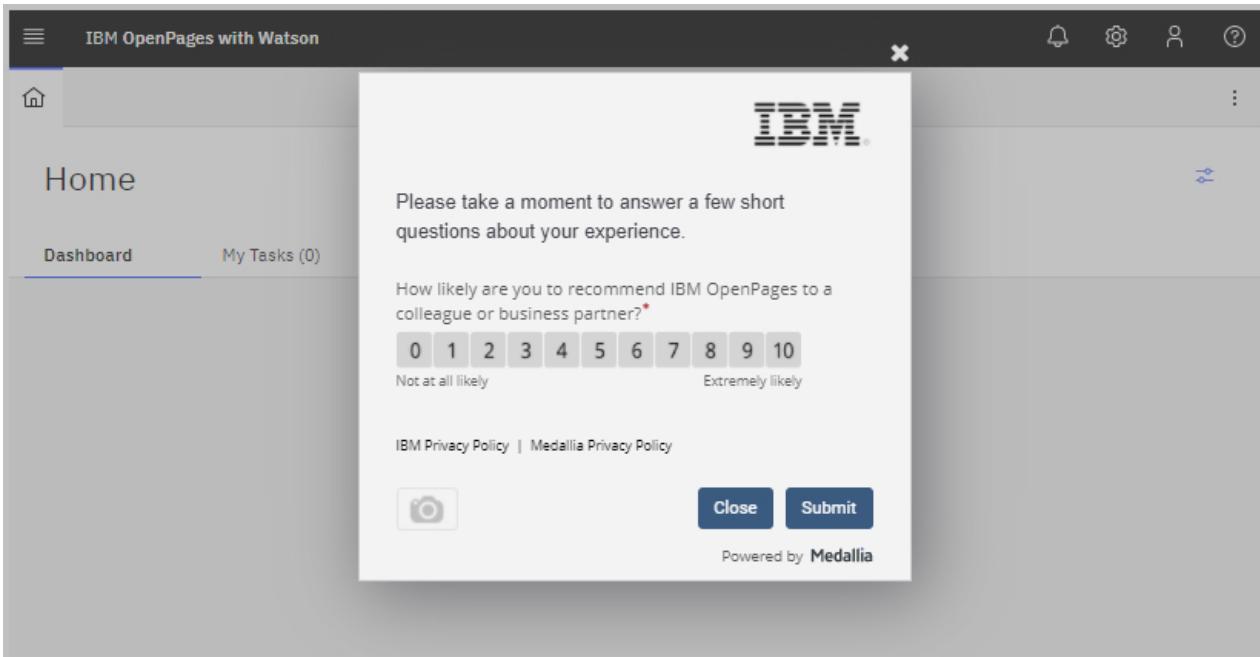


Figure 6. NPS survey form displayed after logging in

The survey is displayed in the language of the locale that you have selected. If you change your locale, the language of the survey changes. Answer the questions, provide screen shots (optional), and click **Submit**.

Configurable lifecycles

Configurable lifecycles define the stages that an object type can follow.

Configurable lifecycles are a legacy feature that might be configured for certain object types and processes in your organization. The feature has been replaced by GRC Workflow. Until your organization has fully transitioned to GRC Workflow, you might still use configurable lifecycle in some areas.

Lifecycles work with questionnaire assessments and incidents but can be extended to other objects. Users are informed in an email that they must complete a task, for example, answer questions in a questionnaire assessment. When the user completes the task, the object moves to the next task and the next user. The lifecycle process is finished when all the tasks are completed. You have a record of who did what task and when.

At each lifecycle stage, the system:

- Identifies a lifecycle assignee
- Defines the actions available to move to a different stage
- Sends an email to the new lifecycle assignee
- Defines other attributes (read-only and in review) that are related to the current stage

Lifecycle information is stored on the object instance. Open an object to see its lifecycle information.

Lifecycle fields are read-only, except for **Update Assignee**. The assignee for a stage is defined in the lifecycle trigger. An object can have only one lifecycle assignee per stage. A user can add a comment with each transition.

For more information see the *IBM OpenPages with Watson Solutions Guide*.

Natural language processing services

Implementing and configuring a natural language processing service is an optional feature in IBM OpenPages with Watson. If your administrator has implemented and configured a natural language processing service, you can use it to interpret and classify text that you enter in OpenPages. A natural

language processing service understands the intent behind text and returns corresponding suggested classifications, together with a confidence score.

You can use a natural language processing service with any objects in OpenPages but it is typically used to classify loss events, waivers, issues, and incidents. For example, you can use it to support your decision making when you classify a loss event to the correct Basel II categorization. You can also use it to support decision making when you classify waivers as exceptions to regulatory compliance. The text description that you enter is used as input to a natural language processing service that has been trained with knowledge from your domain specialists.

Terms to understand

natural language processing service

A natural language processing service uses machine learning algorithms to return the top-matching predefined classes for short text inputs.

IBM Watson Discovery

IBM Watson Discovery is a natural language processing service on IBM Cloud Pak® for Data. You configure a IBM Watson Discovery service and then integrate it with OpenPages. It uses the Analyze API.

IBM Watson Natural Language Understanding

IBM Watson Natural Language Understanding is a language processing service in IBM Cloud. You can train and deploy text classifier models and then integrate them with OpenPages. IBM Watson Natural Language Understanding learns from your data and can predict classifications for texts that it is not trained on. IBM Watson Natural Language Understanding is a multi-label, multi-class classifier. It assumes that text likely belongs to more than one class and can better predict texts with multiple classifications.

Classifier Configuration

A classifier configuration in OpenPages defines connection information to an instance of a natural language processing service. For taxonomy classifications, it specifies the classifier target fields for the instance. For object associations, it specifies the object type to associate, whether it is a child or parent relationship, and other attributes.

Classifier Field

A classifier field is a field group in OpenPages that contains the name of a classifier configuration and a classifier input field. An IBM Watson Insights button is displayed in place of a classifier field (taxonomy classifications) or as an action (object associations).

Classifier Input Field

A classifier input field is a field in OpenPages that contains the short text input that a natural language processing service interprets and classifies. It is typically a **Description** field. The text *Adding a description improves IBM Watson Suggestions* is automatically displayed below a classifier input field.

Classifier Target Fields

For taxonomy classifications, classifier target fields are fields in OpenPages that are set when a user chooses suggestions for a classifier field.

Watson Insights

The underlying infrastructure in OpenPages is tied to IBM Watson Insights. An IBM Watson Insights button is displayed and suggestions are displayed in a **Watson Insights** panel.

An IBM Watson Insights button appears only if the classifier is able to make a suggestion based on the text entered. The button does not appear if the text does not generate suggestions.

The user interaction in the **Watson Insights** panel is the same regardless of whether the service is IBM Watson Discovery or IBM Watson Natural Language Understanding.

Tags

In OpenPages, you can use tags to categorize objects and perform searches based on those categories.

You can add tags to objects and remove tags from objects. Only Administrators with the Tagging administration permission can enable and disable the Tagging feature, and create, edit, and disable tags.

You can add and remove tags from an object only under the following conditions:

- The object must be unlocked.
- You must have write access to the object.
- You must be in the current reporting period.
- When you are adding tags, the number of tags must be less than the maximum of 25 tags per object.

When a tag is disabled, you can remove it from an object and you can search on it, but you can't add a disabled tag to an object.

Adding and removing tags

You can add tags to objects and remove tags from objects.

Before you begin

You can only add and remove tags under specific conditions. For more information, see the previous section entitled *Tags*.

Procedure

1. Open a Grid View.

For more information, see “[Using Grid Views to find, open, and work with objects](#)” on page 35.

2. Click the object you want to add tags to or remove tags from.

The **Task** tab is displayed.

3. To add tags if no tags have been applied yet:

a) In the **Tags** panel, click \oplus .

b) You can either type characters to find tags or you can click the arrow in the drop-down box to display a list of tags.

c) Select the tags you want to add.

4. To add tags if the object has tags already:

a) Click the pencil icon in the **Tags** panel.

b) You can either type characters to find tags or you can click the arrow in the drop-down box to display a list of tags.

c) Select the tags you want to add.

5. To remove tags, you can choose one of the following methods:

• Click the **X** on the tags you want to remove.

• Type characters to find the tags you want to remove. Deselect the tags you want to remove.

• Click the arrow in the drop-down box to display a list of tags. Deselect the tags you want to remove.

• Click the **X** on the number of unique tags displayed in the drop-down box to remove all tags on the selected objects.

Results

Your changes are applied immediately. If you click outside of the **Tags** panel, the panel exits edit mode.

Chapter 3. Using the Home page and Dashboard

The Home page and the Dashboard are the central points of access to information in OpenPages.

Using the Home page

The Home page is the initial page that is displayed when you log in to OpenPages.

The Home page organizes information and tasks. It contains the following parts:

- A dashboard
- Task tabs
- Tabs for reports

The dashboard displays panels with content that is personalized for you. For more information, see “[Using the Dashboard](#)” on page 21 and “[Adding panels and widgets to your dashboard](#)” on page 27.

The task tabs summarize the three types of tasks that you can work with:

- Tasks that are assigned to you.
For more information, see “[Using the My Tasks tab](#)” on page 23.
- Tasks that you are subscribed to.
For more information, see “[Using the Subscription Tasks tab](#)” on page 24.
- Tasks for which you have oversight responsibility.
For more information, see “[Using the Oversight Tasks tab](#)” on page 25.

The tabs for Cognos reports are part of the dashboard that is personalized for you.

Using the Dashboard

The dashboard displays panels and report tabs with content that is personalized for you.

The dashboard provides personalized, quick access to the tasks, information, objects, and reports that you most frequently work on.

The screenshot shows the IBM OpenPages with Watson dashboard interface. At the top, there's a dark header bar with the title "IBM OpenPages with Watson" and several small icons for notifications, settings, user profile, and help. Below the header are three tabs: "Risks", "Controls", and "Policies". The "Policies" tab is currently selected. The main content area is titled "Home". It features four distinct panels:

- My Task:** Displays a count of 185 tasks. A breakdown shows 4 Overdue, 0 Due soon, 0 Due in 2+ weeks, and 181 No due date.
- Issue Management:** Shows 3 My Issues and 3 My Open Issues.
- Favorites:** Lists items such as "Iss-11-001-AI_01" (Need to create formal polici...), "Accounts Receivable - 2011 ...", and "Abrucca Limited" (Legal Entity).
- Dashboard:** This is the active panel, indicated by a blue underline. It also displays the total task count of 185.

Figure 7. Example of a dashboard

You can:

- Click actionable elements in any panel to quickly drill down to what you want to work on or view.
- Click a tab for a report to run a report.
- Reorganize the panels
- Hide and remove panels
- Customize the dashboard by adding your own panels that contain charts, reports, tasks, and so on. For more information, see [“Adding panels and widgets to your dashboard” on page 27](#).
- Use Search panels, if they are configured by an administrator. A Search panel allows you to search for text and values for one object type or across selected or all object types. For more information, see [“Searching for objects using global search ” on page 74](#).
- Quickly complete your tasks by using bulk workflow actions on the My Tasks, Subscription Task, and Oversight Task panels. For more information, see [“Completing bulk workflow actions in a Grid View” on page 44](#).
- View system notices if single sign-on (SSO) is used. If SSO is used, system notices that would be displayed on the logon page are displayed when you access the dashboard. The system notice can change when you close the session and access the system again.

Using the My Tasks tab

Use the My Tasks tab to access tasks that are assigned to you.

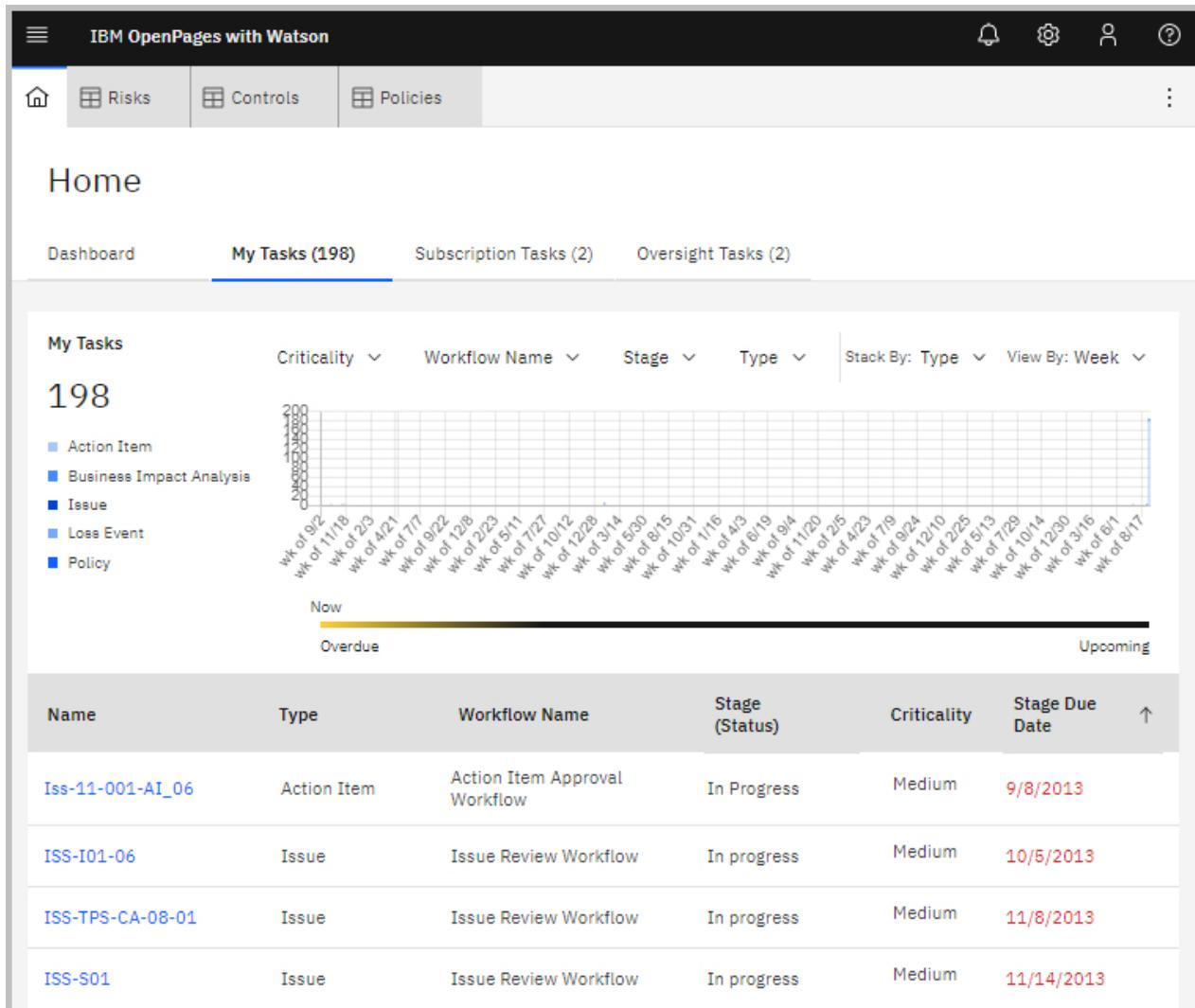


Figure 8. Example of the My Tasks tab

The My Tasks tab contains two parts:

- Chart
- Grid

The chart summarizes tasks that are assigned to you. You can:

- Filter the data
- Control how the data is stacked in each bar by changing **Stack by**
- Hover above a bar to view a summary of the underlying data
- Select Week, Month, or Year to change the date view

The grid lists your assignments. When you select an object in the grid, the object opens and you can begin working on it. For more information, see [“Completing work that is assigned to you” on page 37](#).

You can control what tasks are included in both the chart and the grid by applying a filter. You can filter your assignments using the following selection criteria: Criticality, Workflow Name, Stage, and Type. For example, you can choose to include only tasks whose Criticality is High. Tasks that do not match the filter are excluded from the chart and the grid.

The **Complete task with bulk workflow actions** window is displayed if the feature is configured and you have workflow items that belong to you as an assignee. For more information, see “[Completing bulk workflow actions in a Grid View](#)” on page 44.

The content and layout of the My Tasks tab is configured for you and cannot be changed.

Using the Subscription Tasks tab

Use the Subscription Tasks tab to access tasks you are subscribed to.

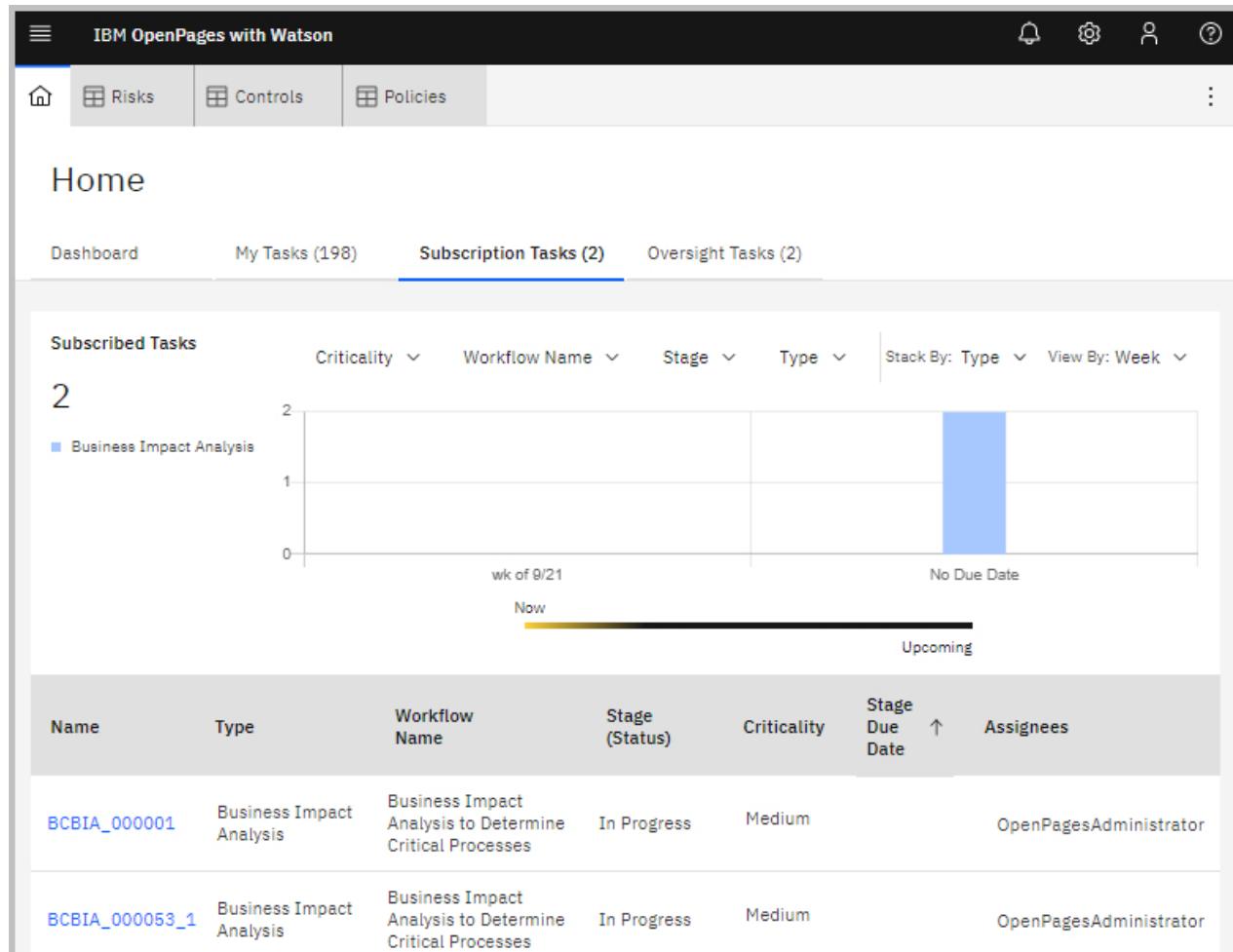


Figure 9. Example of the Subscription Tasks tab

The Subscription Tasks tab contains two parts:

- Chart
- Grid

In the chart you can:

- Filter the data
- Control how the data is stacked in each bar by changing **Stack by**
- Hover above a bar to view a summary of the underlying data
- Select Week, Month, or Year to change the date view

The grid lists tasks you are subscribed to. When you select an object in the grid, the object opens and you can begin working on it. For more information, see “[Completing work that is assigned to you](#)” on page 37.

You can control what tasks are included in both the chart and the grid by applying a filter. You can filter your assignments using the following selection criteria: Criticality, Workflow Name, Stage, and Type. For example, you can choose to include only tasks whose Criticality is High. Tasks that do not match the filter are excluded from the chart and the grid.

The **Complete task with bulk workflow actions** window is displayed if the feature is configured and you have workflow items that belong to you as subscriber. For more information, see “[Completing bulk workflow actions in a Grid View](#)” on page 44.

The content and layout of the Subscription Tasks tab is configured for you and cannot be changed.

Using the Oversight Tasks tab

Use the Oversight Tasks tab to view a summary of work that is assigned to people in your area of responsibility.

If you have access to an Oversight Tasks tab, you have been designated as someone responsible for a workflow. Tasks you see on the Oversight Tasks tab and your own My Tasks tab are generated by workflows that are behind the scenes guiding a task through a defined business process, for example, how Issues are reviewed and finished. The assignees and options on the **Actions** button change as an object moves towards completion of its process. A workflow can have none, one, or many oversight users.

Although there are similarities in the layout of the My Tasks tab and the Oversight Tasks tab, the content and purpose are different. The My Tasks tab summarizes tasks for a single assignee while the Oversight Tasks tab summarizes tasks for many assignees under one oversight user. As an oversight user, you use it to get an overview of the work assigned to people on your team, assess the overall workload, and drill down to the workloads for specific individuals. All users have an Oversight Tasks tab but the tab is empty if you are not designated as an oversight user in a workflow.

The Oversight Tasks tab has two parts:

- Chart
- Grid

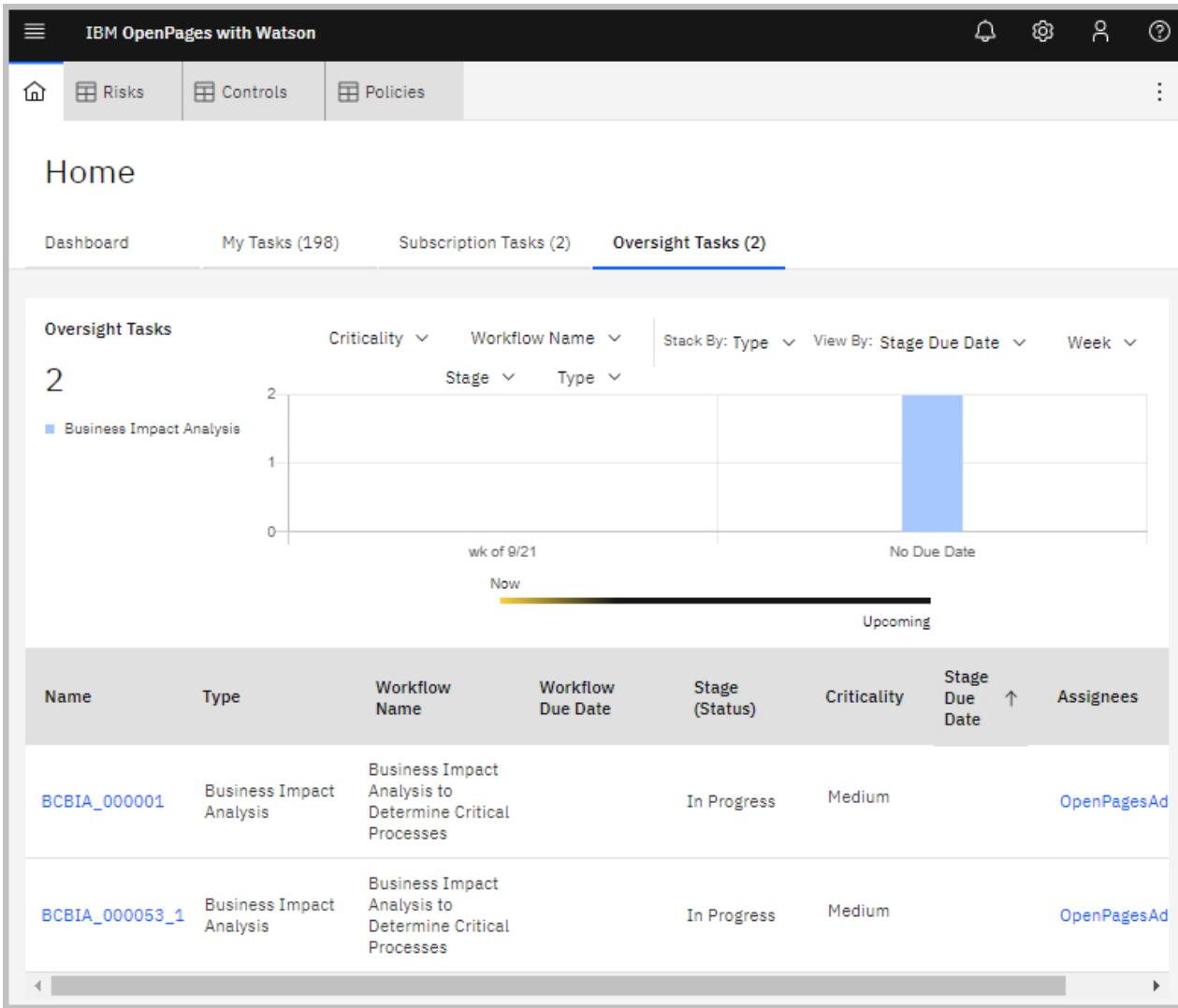


Figure 10. Example of the Oversight Tasks tab

The chart summarizes tasks that belong to people in your area of responsibility. You can:

- Filter the data
- Control how the data is stacked in each bar by changing **Stack by**
- Hover above a bar to view a summary of the underlying data
- Select Stage Due Date or Workflow Due Date to change the date view
- Select Week, Month, or Year to change the date view

The grid lists tasks that belong to people in your area of responsibility. In the grid you can click a user that is displayed in the **Assignee** column. The list and chart change to show only tasks assigned to that person. You can get an overview of their workload and work that is overdue.

You can also select an object by clicking the **Name**. The object opens and, if you have access to the task, you can begin working on it.

When you apply a filter, you can control what tasks are included in both the chart and the grid. You can filter tasks using the following selection criteria: Criticality, Workflow Name, Stage, and Type. For example, you can choose to include only tasks whose Criticality is High. Tasks that do not match the filter are excluded from the chart and the grid.

The **Complete task with bulk workflow actions** window is displayed if the feature is configured and you have workflow items that belong to you as an oversight user. For more information, see “[Completing bulk workflow actions in a Grid View](#)” on page 44.

The content and layout of the Oversight Tasks tab is configured for you and cannot be changed.

Adding panels and widgets to your dashboard

The dashboard allows you to create your own personalized dashboard panels.

The following types of panels can be added to your dashboard:

- Charts

For more information, see “[Adding a chart panel](#) ” on page 28.

- Custom panels

For more information, see “[Adding a custom panel](#) ” on page 29.

- Favorite objects

For more information, see “[Adding a favorites panel](#)” on page 31.

- My Tasks

For more information, see “[Adding a My Tasks panel](#) ” on page 32.

- Oversight Tasks

For more information, see “[Adding an Oversight Task panel](#) ” on page 33.

- Reports

For more information, see “[Adding a Reports panel](#) ” on page 31.

- Subscribed Tasks

For more information, see “[Adding a Subscription Task panel](#) ” on page 33.

You can add as many panels as you want to your dashboard. Panels might appear on your dashboard that you did not define. They can come from two sources:

- Dashboard panels that an administrator defined for the profile that you belong to.

These panels are automatically displayed on your dashboard. You can rearrange them and hide them. Administrators can add or change the default panels at any time. If you configured your dashboard and an administrator later adds a panel to the default dashboard, your layout remains unchanged and the new panel appears at the bottom of your dashboard.

Administrators can define Search panels that use global search. For more information, see “[Searching for objects using global search](#) ” on page 74.

Regardless of where the panels come from, you can reposition them on your dashboard by dragging them and placing them where you want them.

The configuration of your dashboard is saved in the database and not in the web browser cache. This means that you can clear the cache, switch to a different browser, or log in from a different computer without changing the configuration of your dashboard.

Dashboard panels are displayed side-by-side and down the screen. The screen width dictates how many dashboard panels are displayed side-by-side. On smaller screens, for example, on tablets and phones, panels might be displayed straight down the screen. Scroll down to see all panels. You can use a drop-down list to switch between tabs.

Tabs for reports are part of the dashboard that an administrator defined for the profile that you belong to. Administrators can add or change the tabs for reports at any time. You can retain the report tabs that an administrator defined for your profile and also define your own. For more information, see “[Adding a Reports tab](#) ” on page 34.



Trouble:

If the Dashboard encounters a problem and cannot render, you can apply safe mode by adding ?safeMode=1 to the end of the URL. The rendering process stops and you can access the dashboard configuration to debug the problem. Remove ?safeMode=1 from the URL to exit safe mode.

Adding a chart panel

Chart panels on the Dashboard show data graphs that you frequently access.

Before you begin

Learn more about chart diagrams. For more information, see the *IBM OpenPages with Watson Administrator's Guide*.

About this task

A chart is based on one object type and one field within that object type that is a single value enumerated field.

You can drill through the chart and open related objects.

Charts in a dashboard panel are similar in functionality to charts in a Task View with the exception that a chart in a dashboard panel has a sum total of objects. Click the sum total to open a grid view of all objects in the chart.

Procedure



1. Click  to open the Dashboard configuration menu.
2. Click **New Panel**.
3. Select **Chart** in **Panel Type**.
4. Enter a **Label**. The label displays as a title for the panel.
5. Choose an **Object Type**. The object types that are listed depend on the access rights that have been assigned to you by an administrator.
 - a) Optional: Select a **Filter**. If no filters are displayed, there are no filters associated to the object type. Contact your administrator for assistance.
6. Choose a **Chart Type**. Valid values are:
 - **Bar**
 - **Doughnut**
 - **Gantt**
 - **Horizontal Bar**
 - **Pie**
7. If you choose Gantt, complete the Gantt Chart Configuration fields:
 - a) Select a **Start Date Field**.
 - b) Select an **End Date Field**.
 - c) Select a **Primary Row Field**.
 - d) Optional: Select a **Secondary Row Field**.
 - e) Select a **Color Definition Field**.
 - f) Click **Done**.
8. Choose a field in **Chart Data Field** (displays for all types of charts except Gantt).

9. In **Method Type** choose Count, Sum, Average, Min, or Max (displays for all types of charts except Gantt). If you chose Sum, Average, Min, or Max, provide a field in **Aggregation Field**. Only currency, decimal, and integer type fields are displayed in **Aggregation Field**.
10. Click **Done**.
11. Click **Dashboard** to refresh the dashboard and verify that the panel displays correctly. Click a panel and move it to where you want it to display on the dashboard.

Adding a custom panel

Configure a custom panel on the Dashboard to organize information to which you want to have quick access.

About this task

The custom panel is a highly flexible panel type. It can contain multiple widgets of different types, for example, you can place a New widget and a Guidance widget (informational text that you write) in a single custom panel.

The following types of widgets can be added to a custom panel:

- **New**

A New widget displays a **New** button for one object type. A Creation View for the object type opens.

- **Chart**

A chart is based on one object type and one field within that object type that is a single value enumerated field.

For more information about charts, see [“Adding a chart panel ” on page 28](#).

You can select the chart type (bar, doughnut, horizontal bar, or pie), the object type, and the field or fields that the chart is based on.

- **Filter Count**

A filter count widget shows an object count for one object type and filter. Click the count to open a Grid View that lists objects that match the filter. You can see how many objects exist and drill down into the count.

- **Guidance**

A guidance widget displays informational text that you write. You can apply formatting, for example, bold and italics, to the text.

- **Static Link**

A static link widget displays a clickable label for a URL.

Procedure

 1. Click  to open the Dashboard configuration menu.

2. Click **New Panel**.

3. Select **Custom** in **Panel Type**.

4. Enter a **Label**. The label displays as a title for the panel.

5. Click **New Widget** and select a widget type:

- **New**
- **Chart**
- **Filter Count**
- **Guidance**
- **Static Link**

6. If you chose **New**, complete the following steps:

- a) Select an **Object Type**.
- b) Click **Done**.

7. If you chose **Chart**, complete the following steps:

- a) Enter a **Label**.
- b) Select an **Object Type**.
- c) Select a **Chart Type**.
 - Bar
 - Doughnut
 - Horizontal Bar
 - Pie
- d) Choose a field in **Chart Data Field**.
- e) Click **Done**.

8. Click **Done**.

9. If you chose **Filter Count**, complete the following steps:

- a) Select an **Object Type**.
- b) Optional: Select a **Filter**. If no filters are displayed, there are no filters associated to the object type. Contact your administrator for assistance.
- c) Click **Done**.

10. If you chose **Guidance**, complete the following steps:

- a) Enter informational text in **Guidance**.

You can apply the following formatting to the text:

- ***text*** displays text as italics.
- ****text**** displays text as bold.
- A fully qualified URL inserts a hyperlink. For example, <https://www.ibm.com> displays in a view as a hyperlink named [**https://www.ibm.com**](https://www.ibm.com).
- [Link title] (URL) inserts a hyperlink as a link title, where [Link title] is a text title and (URL) is a fully qualified URL. For example, [Click here to visit IBM] (<https://www.ibm.com>) displays in a view as a hyperlink named **Click here to visit IBM**.

Note: Check the text placement and make adjustments if needed. You might have to add spaces and/or new lines to position the text where it aligns correctly.

- b) Click **Done**.

11. If you chose **Static Link**, complete the following steps:

- a) Enter a **Label**, for example, **Go to IBM**. The label is a clickable name in the widget.
- b) Enter a fully qualified URL in **Link**, for example, <https://www.ibm.com>.
- c) Click **Done**.

12. Click **Done**.

13. Click **Dashboard** to refresh the dashboard and verify that the panel displays correctly. Click a panel and move it to where you want it to display on the dashboard.

Adding a favorites panel

A favorites panel on the Dashboard displays objects that are marked as favorites.

About this task

The first column in a favorites panel is object name. The second column is configurable, where it can be an object's description, folder location, or object type. You can define multiple favorites panels, each with a different field defined as the second column.

Objects are sorted by the timestamp when objects are marked as a favorite.

A maximum of 20 objects can be marked as favorites.

Procedure

1. Click  to open the Dashboard configuration menu.
2. Click **New Panel**.
3. Select **Favorite Objects** in **Panel Type**.
4. Enter a **Label**. The label displays as a title for the panel.
5. In **Second Column** define what field is displayed in the second column of the favorites panel.

The second column can be:

- Description
- Folder
- Object Type

6. Click **Done**.

7. Click **Done**.

The new panel displays on the Dashboard. Objects are already marked as a favorite are listed.

8. To mark an object as a favorite:

- a) Click  to open the Primary menu, expand a category, choose an object type, and open an object.
For example, open a business entity that you frequently need to access.
 - b) Click .
- The favorites star becomes solid yellow.
- c) Go back to the dashboard.
The object you marked is listed in the favorites panel.

9. To unmark an object as a favorite, open the object and click .

Adding a Reports panel

A Reports panel shows either a list of all reports by category or an alphabetical list of reports that are assigned to the profile that you belong to.

About this task

When you define a Reports panel, the **Data Source** field determines the panel's organization and content:

- All Reports

A Reports panel lists reports organized by categories. The panel contains reports that are located in the Reporting folder. The panel contains only reports that you have permission to view, either per your profile or the permissions on the report.

- Profile Reports

A Reports panel lists reports alphabetically. The list contains only reports that are assigned to your profile.

Procedure

1. Click  to open the Dashboard configuration menu.
2. Click **New Panel**.
3. Select **Reports** in **Panel Type**.
4. Enter a **Label**. The label displays as a title for the panel.
5. Select All Reports or Profile Reports in **Data Source**.
6. Click **Done**.
7. Click **Dashboard** to refresh the dashboard and verify that the panel displays correctly. Click a panel and move it to where you want it to display on the dashboard.

Adding a My Tasks panel

A My Tasks panel on the dashboard organizes tasks that are assigned to you by due date, relative to a *due soon* timeframe.

About this task

You define how many weeks constitute the *due soon* timeframe. You can use the timeframe to establish a sense of urgency that is personalized for you for this type of task. A task can fall into one of three categories:

- Overdue (the task's due date is before the due soon timeframe)
- Due soon (the task's due date is within the due soon timeframe)
- Due later (the task's due date is after the due soon timeframe)

The **Complete task with bulk workflow actions** window displays on My Tasks panel if the feature is configured and you have workflow items that belong to you as an assignee. It appears automatically and requires no configuration in the panel definition. For more information, see [“Completing bulk workflow actions in a Grid View” on page 44](#).

Procedure

1. Click  to open the Dashboard configuration menu.
2. Click **New Panel**.
3. Click **My Tasks** in **Panel Type**.
4. Enter a **Label**. The label displays as a title for the panel.
5. In **'Due Soon' definition (in weeks)** enter the number of weeks that define the due soon timeframe.
6. Leave the default colors as they are or choose other colors in **Chart Colors**.
7. Click **Done**.
8. Click **Dashboard** to refresh the dashboard and verify that the panel displays correctly. Click a panel and move it to where you want it to display on the dashboard.

Adding a Subscription Task panel

A Subscription Task panel on the Dashboard organizes your subscription tasks by due date, relative to a "due soon" timeframe.

About this task

You define how many weeks constitute the *due soon* timeframe. You can use the timeframe to establish a sense of urgency that is personalized for you for this type of task. A task can fall into one of three categories:

- Overdue (the task's due date is before the due soon timeframe)
- Due soon (the task's due date is within the due soon timeframe)
- Due later (the task's due date is after the due soon timeframe)

The **Complete task with bulk workflow actions** window displays on a Subscription Task panel if the feature is configured and you have workflow items that belong to you as a subscriber. It appears automatically and requires no configuration in the panel definition. For more information, see [“Completing bulk workflow actions in a Grid View” on page 44](#).

Procedure

1. Click  to open the Dashboard configuration menu.
2. Click **New Panel**.
3. Select **Subscribed Tasks** in **Panel Type**.
4. Enter a **Label**. The label displays as a title for the panel.
5. In **'Due Soon' definition (in weeks)** enter the number of weeks that define the due soon timeframe.
6. Leave the default colors as they are or choose other colors in **Chart Colors**.
7. Click **Done**.
8. Click **Dashboard** to refresh the dashboard and verify that the panel displays correctly. Click a panel and move it to where you want it to display on the dashboard.

Adding an Oversight Task panel

An Oversight Task panel on the Dashboard organizes your oversight tasks by due date, relative to a *due soon* timeframe.

About this task

You define how many weeks constitute the *due soon* timeframe. You can use the timeframe to establish a sense of urgency that is personalized for you for this type of task. A task can fall into one of three categories:

- Overdue (the task's due date is before the due soon timeframe)
- Due soon (the task's due date is within the due soon timeframe)
- Due later (the task's due date is after the due soon timeframe)

The **Complete task with bulk workflow actions** window displays on an Oversight Task panel if the feature is configured and you have workflow items that belong to you as an oversight user. It appears automatically and requires no configuration in the panel definition. For more information, see [“Completing bulk workflow actions in a Grid View” on page 44](#).

Procedure

1. Click  to open the Dashboard configuration menu.

2. Click **New Panel**.
3. Select **Oversight Tasks** in **Panel Type**.
4. Enter a **Label**. The label displays as a title for the panel.
5. In **'Due Soon' definition (in weeks)** enter the number of weeks that define the due soon timeframe.
6. Leave the default colors as they are or choose other colors in **Chart Colors**.
7. Click **Done**.
8. Click **Dashboard** to refresh the dashboard and verify that the panel displays correctly. Click a panel and move it to where you want it to display on the dashboard.

Adding a Reports tab

A dashboard can contain up to three tabs for Cognos and OpenPages reports.

About this task

Your administrator might have created report tabs for the profile that you belong to. If this is the case, you can retain the report tabs or remove them and add reports that you access more frequently.

Procedure

1. Click  to open the Dashboard configuration menu.
2. Click **New Report Tab**.
3. Enter a **Name**. Keep it short.
4. Select a **Report**.
5. Click **Done**.

Chapter 4. Working with objects

You can complete work that is assigned to you, create objects, and edit and copy objects.

Using Grid Views to find, open, and work with objects

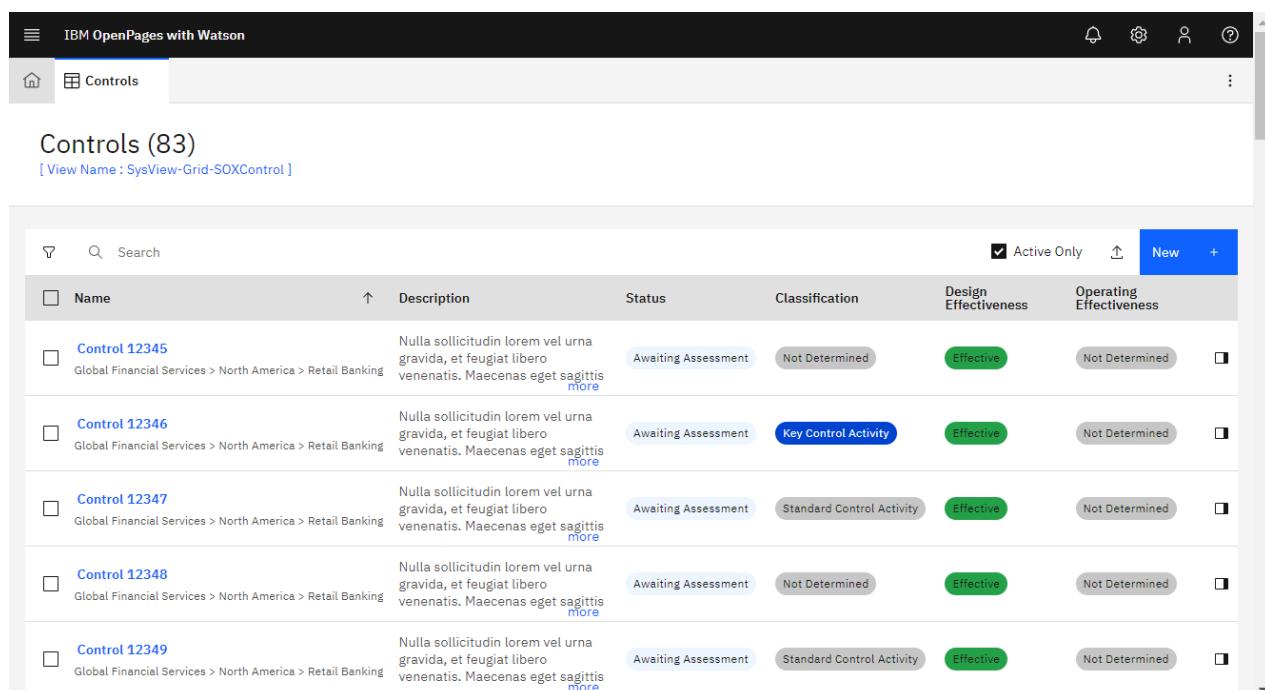
A Grid View is a list of objects.

In a Grid View, you can perform the following tasks:

- Filter the list.
- Export the list.
- Select a specific object to open.
- Create, delete, lock, and unlock objects.
- Change fields across multiple objects.
- Apply or remove tags across multiple objects.

About this task

Grid Views function the same across all object types. The field columns vary depend on the object type.



The screenshot shows a web-based application interface for IBM OpenPages with Watson. At the top, there's a navigation bar with icons for Home, Controls, and other system functions. Below the navigation is a title bar reading "Controls (83)" and "[View Name : SysView-Grid-SOXControl]". The main area is a grid table with the following columns: Name, Description, Status, Classification, Design Effectiveness, and Operating Effectiveness. There are five rows of data, each representing a control object with a checkbox, a name like "Control 12345", a detailed description, and status indicators such as "Awaiting Assessment" and "Not Determined". Buttons for "Active Only", "New", and "+" are located at the top right of the grid.

Name	Description	Status	Classification	Design Effectiveness	Operating Effectiveness
Control 12345 Global Financial Services > North America > Retail Banking	Nulla sollicitudin lorem vel urna gravida, et feugiat libero venenatis. Maecenas eget sagittis more	Awaiting Assessment	Not Determined	Effective	Not Determined
Control 12346 Global Financial Services > North America > Retail Banking	Nulla sollicitudin lorem vel urna gravida, et feugiat libero venenatis. Maecenas eget sagittis more	Awaiting Assessment	Key Control Activity	Effective	Not Determined
Control 12347 Global Financial Services > North America > Retail Banking	Nulla sollicitudin lorem vel urna gravida, et feugiat libero venenatis. Maecenas eget sagittis more	Awaiting Assessment	Standard Control Activity	Effective	Not Determined
Control 12348 Global Financial Services > North America > Retail Banking	Nulla sollicitudin lorem vel urna gravida, et feugiat libero venenatis. Maecenas eget sagittis more	Awaiting Assessment	Not Determined	Effective	Not Determined
Control 12349 Global Financial Services > North America > Retail Banking	Nulla sollicitudin lorem vel urna gravida, et feugiat libero venenatis. Maecenas eget sagittis more	Awaiting Assessment	Standard Control Activity	Effective	Not Determined

Figure 11. Example of a list of objects (Grid View)

Procedure

1. Open a Grid View.

There are numerous access points for Grid Views, for example:

- Click  to open the Primary menu. Find the object type that you want to work with. A Grid View opens.
- Click a color in a chart in a Task View or on the Dashboard. A Grid View opens with objects in that portion of the chart.

2. Take any of the following actions:

- Select an object that you want to work with and open it.
- Click in the search box and enter search criteria.

For more information, see “[Finding objects with the Search box](#)” on page 63.

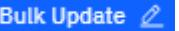
- Click  to access filters that help you quickly find objects that you want to work with.

For more information, see:

- “[Using folder filters \(Business Entity\)](#)” on page 64
- “[Using private filters](#)” on page 65
- “[Using public filters](#)” on page 65
- “[Using ad hoc filters](#)” on page 68

After you apply a filter, you can optionally enter search criteria in the search box to narrow your search even further.

Click the filter name in the header to remove the filter.

- Select or clear the filter that is displayed at the top of the grid, if one is displayed. The name of the filter depends on how your system has been configured. If the object type uses workflows, the **Active Only** filter might be displayed. Clear **Active Only** to include objects in the list that have completed a workflow. Objects that have not yet gone through a workflow and those that are actively in a workflow are always listed. If **Active Only** is not displayed, no workflows exist for the object type.
- Export all or selected objects into a spreadsheet (.xls format). For information, see “[Exporting data from filter results](#)” on page 50.
- Click **Complete task with bulk workflow actions**, if it is displayed, to quickly complete workflow items. For more information, see “[Completing bulk workflow actions in a Grid View](#)” on page 44.
- Select all, one, or many objects with the check mark and then you can delete, lock, unlock, or export them.
- Select all, one, or many objects with the check mark and click  to change field values across multiple objects. For more information, see “[Applying changes to multiple objects with bulk update in a Grid View](#)” on page 48.
- Select all, one, or many objects with the check mark and click  to apply or remove tags across multiple objects. For more information, see “[Adding and removing tags from multiple objects in a Grid View](#)” on page 49.
- Select all, one, or many objects with the check mark and click  to move the objects to another folder. Choose the destination of the selected objects and click **Confirm**. For business entities, self-contained objects, and security model objects, selected objects are moved using a long running process. This enables a user to reorganize business entity structures. A move cannot be undone.

Whether child objects are moved with their parent objects depends on how the Allow Hierarchical Moves setting is configured.

Note: If a move involves a large number of objects, perform the move after business hours to reduce the impact on system performance.

- Click a field name in the header row to sort the list by that field in ascending order. Click the field name again to choose descending order.
- Click  to create a new object. Whether the button is displayed depends on how your system is configured.
- Choose a value in **Items per page** to control how many objects are listed on a single page.

If you access an object type that does not have an enabled, valid Grid View, no view is displayed.

Completing work that is assigned to you

You can complete a task that is assigned to you.

About this task

What you can do on the task depends on how it is configured.

The screenshot shows the 'Task' view for an issue titled 'Policy needs update'. The top navigation bar includes 'IBM OpenPages with Watson', 'Controls', 'New Control', 'Issues', and a search bar. The main area displays the task details under the 'Task' tab, including:

- General:** Name: Policy needs update, Assignee: [redacted], Description: All Inventory policy documents need to be translated and uploaded into FCM for the locales to which they apply.
- Controls:** Buttons for 'Select Primary Control' and 'Select Additional Controls', followed by a list titled 'ISO Control Suggestions (1)'.
- Priority:** Low.
- Issue Status:** In progress, Due Date: 9/14/2020.
- Deficiency Details:** Issue Owner: [redacted] (with a required field error message 'This value is required.'), Issue Approver: [redacted].

A validation summary on the right indicates '1 item requires attention.' with options to validate 'Name', 'Description', 'Issue Category', 'Issue Owner', 'Issue Approver', 'Priority', and 'Due Date'.

Figure 12. Example of a task (Task View) with one required field that is empty

Procedure

1. There are several ways to access tasks that are assigned to you:

- From your dashboard, you can find and open tasks that are assigned to you. For more information, see “[Using the Dashboard](#)” on page 21.
- From the My Tasks tab, you can open tasks that are assigned to you. For more information, see “[Using the My Tasks tab](#)” on page 23.
- Click **Complete task with bulk workflow actions** to complete workflow items. For more information, see “[Completing bulk workflow actions in a Grid View](#)” on page 44.
- From an email notification that you received, click a URL. The system opens a task that is assigned to you. Email notifications can be sent when a stage changes or a workflow ends. Email notifications can be sent to both task assignees and subscribers. Whether and when you receive email notifications depends on how your system is configured.
- From an email reminder that you received, click a URL. The system opens a task that is assigned to you. Email reminders can be sent before, on, or after the due date for a task. You might receive multiple reminders. Email reminders can be sent to both task assignees and subscribers. Whether and how frequently you receive email reminders depends on how your system is configured.

2. Work on the task:

- Review information about the object.
- Complete required fields that are empty.

Tip: If it is displayed, click  **Off** to turn on edit mode. If you have many changes to make, you can tab from field to field.

- Correct required and optional fields that have invalid values.
- Review optional fields that have values.
- If possible, complete optional fields that are empty.
- Click  to view field guidance for all fields in a section.
- To find a field in the view, click , and then type the name of the field.

Depending on how the Task View is configured, you might also be able to take any of the following actions:

- Use the supporting information in inline guidance to help you understand what you need to do.
- Use the information text and progress bar in user guidance to view a task's status:

Table 12. Colors in the progress bar

Color	Status	Includes
Red	Not ready	<ul style="list-style-type: none"> Required fields that are empty. Required fields that have invalid values. Optional fields that have invalid values.
Green	Ready	Required and optional fields that are finished and have valid values.
Gray	Ready	Optional fields that are empty.
Black	Not ready	Fields that need to be revalidated. Click Save.

You must address fields that display as red in the progress bar. Review all optional fields and, if possible, provide values for those that display as gray.

Use the key items that are listed in user guidance as your navigation point to important fields. Filter the list of key items by all key items, key items that need attention, or key items that are incomplete. Key items that need attention are included in red in the progress bar.

- Add or change information about the object.

Other field values might change automatically and be set to read-only. This happens if the field you added or changed is an input field for a calculation. For more information about the GRC Calculations feature, see the *IBM OpenPages with Watson Administrator's Guide*.

- Associate the object to another object. If the association is required, the relationship field is listed as a key item.
- Disassociate an object from another object:
 - In a grid relationship field, click **Remove**.
 - In a card relationship field, click **Associate** (the label may be different) and then disassociate the object.
- Add objects. For information, see “[Creating objects from a Grid View](#)” on page 57.
- Delete child objects.
- View a chart diagram and drill down to underlying objects. For information, see “[Viewing information in charts](#)” on page 40.
- View object relationship diagrams and navigate through an object relationship structure. For information, see “[Viewing information in a tree diagram](#)” on page 42.
- If a task is part of a workflow, the **Actions** button is displayed. For example, for an Issue object you might see one or more of the following options on the **Actions** button:
 - **Approve**
 - **Deny**
 - **Approve Close Request**
 - **Deny Close Request**
 - **Request Due Date Change**
 - **Grant Due Date Change**

For a Waiver object you might see one or more of the following options:

- **Submit for Review**
- **Reject**
- **Approve and Close**

Whether the **Actions** button is displayed depends on the workflow that is driving the business process for the object type. The options on the **Actions** button change as the object moves through the workflow process.

The information in the workflow information card is dynamic and also changes throughout the workflow process. It helps you understand where the object is in the workflow process. It shows the stage that the object is currently at, the stage due date, and the current assignee.

Click the refresh button in the workflow information card if the workflow fields are not automatically updated with the latest changes. Fields that are displayed in the workflow information card are refreshed. If the dashboard or task tabs are open, information there is refreshed as well.

The information in the user guidance panel, if it is configured, is also dynamic and can change throughout the workflow process. It explains more about the workflow process and what you need to do at this stage. Click **Select an action to validate** to check whether an action would pass validation before you complete the action. For information, see “[Validating a workflow action](#)” on page 43.

- Add a comment after you choose an option on the **Actions** button. Whether you can add a comment and whether it is required or optional depends on how the options for the **Actions** button are configured. A comment can be up to 4000 characters.
- Move an object forward to the next stage in a lifecycle, if lifecycles are configured for the object type. For example, for an Issue object you might see an **Actions** button with one or more options.

Objects that are configured to use lifecycles show different options on the **Actions** button but have neither a workflow information card nor a User Guidance panel.

For more information, see “[Configurable lifecycles](#)” on page 18.

- Use IBM Watson cognitive technology to make taxonomy suggestions and parent or child object association suggestions. For information, see “[Creating objects from a Grid View](#)” on page 57.
- View insights about the data in a view. If a field has a link to an AI model, you can click the link to see insights about the data in the field. In this example, the **Description** field has a link to an AI model:



- Click **Watson Translator** (Off), if it is displayed, to translate values in text fields to the language associated to your locale. For more information, see “[Using IBM Watson Language Translator](#)” on page 16.
 - Add and work with files (attachments). For more information, see “[Adding and working with files \(attachments\) on objects](#)” on page 76.
 - From a Grid relationship field, click to open an object in a Quick View. The object opens in the side panel. For more information about using the Quick View, see “[Opening a Quick View](#)” on page 47.
3. Click the **Activity** tab to view change history. For more information, see “[Viewing change history on the Activity tab](#)” on page 50.
 4. Click **Save**.

Results

After you finish a task, close the tab.

If you access an object type that does not have an enabled, valid Task View, no view is displayed.

Viewing information in charts

A chart diagram displays a graphical view of related objects based on a specific field.

Example: Horizontal bar

In the following example, a horizontal bar chart shows work papers by review status. You can quickly understand that most of the work papers are completed.

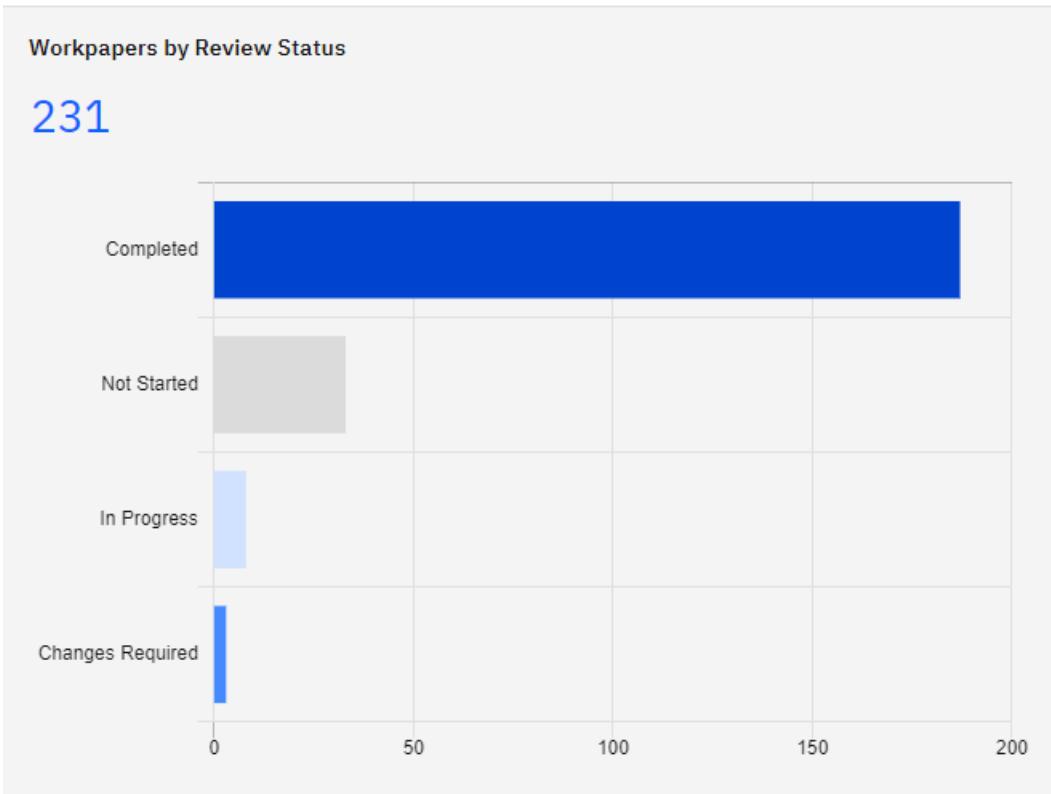


Figure 13. Example of a horizontal bar chart

Click in the different areas of a chart to open a Grid View that lists the underlying objects for that value.

For example, click in the **Completed** bar area and a Grid View opens that lists work papers that have a review status of **Completed**.

Indicators in the Grid View show the filters that are applied and the number of objects in the list. Click the arrow icon to open a parent object. Click X to remove a filter and update the list in the Grid View.

Name	Description	Preparer	Reviewer	Type	Preparation Status	Review Status
01-01-Send notification letter-1 Internal Audit > FinAud > FinAud 1 > Accounts Receivable - 2011	Initial letter to auditee, including more	George Audit	Kevin Audit	Notification Letter	In Progress	Completed
02-01-Firewall Technology Infrastructure-1 Internal Audit > ITAud > ITAud 1 > NA Firewalls - 2008	Obtain an understanding of the more	Al Audit	Sue Audit	Test Evidence	Completed	Completed
02-01-Firewall Technology Infrastructure-1 Internal Audit > ITAud > ITAud 1 > NA Firewalls - 2011	Obtain an understanding of the more	Al Audit	Sue Audit	Test Evidence	Completed	Completed

Figure 14. Grid View of underlying objects in a chart

Viewing information in a tree diagram

A tree diagram displays an object relationship diagram that you can use to find out how an object is related to other objects, drill through the diagram, and open related objects.

The following image shows a tree diagram for a Business Entity.



Figure 15. Tree diagram

In a tree diagram, you can take the following actions:

- Click a circle to expand or collapse that level.
- Click the title of a circle to open an object or list of objects.
 - If you click an object name, the object opens in a Quick View. For more information, see [“Opening a Quick View” on page 47](#).
 - If you click an object type name, a list of objects displays as cards. Click an object name to open it in a new tab.
- Hover over an object title to see a full name without opening an object.
- Click to open the tree diagram in a new tab.

The following image shows an expanded tree diagram after you drill down to the child objects.

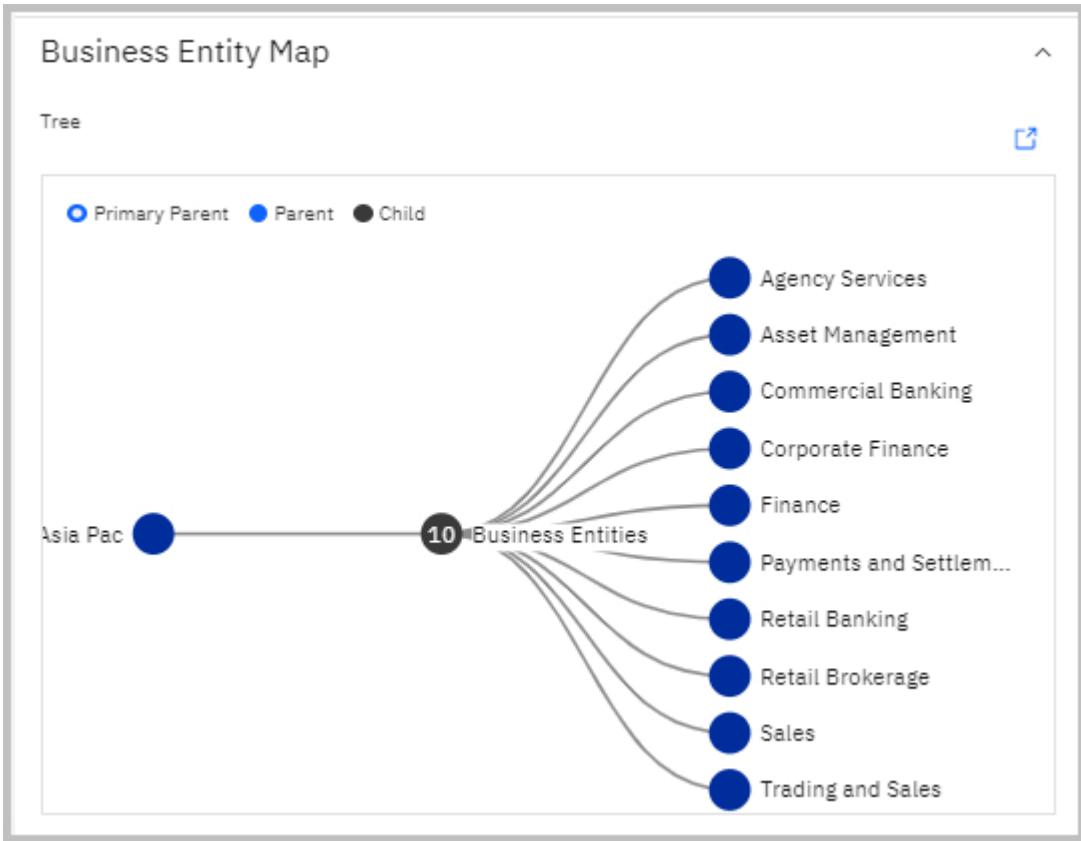


Figure 16. Expanded tree diagram

Validating a workflow action

If a task is part of a workflow that has already started, you can check whether an action would pass validation before you complete the action.

About this task

If a task is part of a workflow that has started, **Select an action to validate** is displayed in the user guidance panel.

When you validate an action, the system guides you through the issues that need to be addressed. You can:

- Use the list of key items as your navigation point.
- Click a key item to go directly to a field.
- Follow the messages to understand how to resolve issues.

The list of key items includes required fields and other items that an administrator designated as key items. You can filter the list of key items by all key items, key items that need attention, or incomplete key items. Key items that need attention are included in red in the progress bar. The symbols next to a key item indicate its status. When you click a key item, the cursor moves to the field in edit mode.

Procedure

1. Open the task that you want to work on.

If it is configured, the user guidance panel displays in the upper right corner of the view.

2. Click **Select an action to validate** and choose an action.

Several changes occur in the user guidance panel:

- Symbols next to key items change based on the action you chose.
 - Messages might display in the task view under fields that have validation errors.
 - Key items that are specific for the action are added to the list of key items under the title **Key Items for this Action**.
3. Click key items that are in error or need to be addressed. Use the selector to filter the key items by all key items, those that need attention, or those that are incomplete. Key items that need attention are included in red in the progress bar.
 4. Follow the messages to understand how to resolve issues.
After all issues are resolved and the progress bar has no red, the action is validated.
 5. Optional: Click **Select an action to validate** and validate a different action. Changes occur in the user guidance panel based on the action you chose. Work through the same steps to resolve issues.
 6. After issues are resolved and the task is ready to be finished, click **Actions** and select the action that you validated.
The action completes and you have finished your work.

Completing bulk workflow actions in a Grid View

Use the **Complete task with bulk workflow actions** window to quickly complete workflow tasks.

About this task

The **Complete task with bulk workflow actions** window is displayed if the feature is configured and you have workflow items that belong to you as an assignee, subscriber, or oversight user. For more information about configuring the **Bulk Workflow Action** feature, see the *Defining a standard stage* topic in the *IBM OpenPages with Watson Administrator's Guide*.

The window can be displayed on the My Tasks tab and dashboard panel, the Subscription Tasks tab and dashboard panel, and the Oversight Task tab and dashboard panel. After you click a category, a Grid View for bulk workflow actions is displayed.

For example, you are the assignee for tasks for Risks, Control Evals, and Issues. If you go to a **My Tasks** panel on the Dashboard, the **Complete task with bulk workflow actions** window is displayed as in the following example:

The screenshot shows the IBM OpenPages with Watson Home page. At the top, there's a navigation bar with a house icon, the title "IBM OpenPages with Watson", and a search bar. Below the navigation bar, the word "Home" is displayed. The main content area has four tabs: "Dashboard" (which is selected and highlighted in blue), "My Tasks (208)", "Subscription Tasks (0)", and "Oversight Tasks (0)".

The "My Tasks" tab is expanded, showing a summary box titled "Complete tasks with bulk workflow actions" which contains three categories: "RCSA" (70 Risks | In Review), "SOX Sub-certification" (76 Control Evals | In Review), and "Issue Review Workflow" (62 Issues | In Review). A red circle with the number "3" is placed over this summary box, indicating the count of categories.

Below the summary box is a table titled "SOX Certification for Controls". The table has four columns: "Name", "Description", "Status", and "Due Date". The data is as follows:

Name	Description	Status	Due Date
CTL 1	Description here...	Ready for Certification	Sep 20, 2020
CTL 2	Description here...	Certified w/Disclosure	Sep 20, 2020
CTL 3	Description here...	Not reviewed	Sep 20, 2020
CTL 4	Description here...	Not reviewed	Sep 20, 2020
CTL 5	Description here...	Not reviewed	Sep 20, 2020
CTL 6	Description here...	Not reviewed	Sep 20, 2020
CTL 7	Description here...	Not reviewed	Sep 20, 2020
CTL 8	Description here...	Not reviewed	Sep 20, 2020
CTL 9	Description here...	Not reviewed	Sep 20, 2020
CTL 10	Description here...	Not reviewed	Sep 20, 2020

At the bottom of the table, there are pagination controls: "Items per page: 10", "1 – 10 of 25 items", "1 of 3 pages", and navigation arrows.

To the right of the main content area, there's a sidebar titled "Favorites" containing four items: "ORM - 2020 Q1", "ORM - 2020 Q2", "ORM - 2020 Q3", and "ORM - 2020 Q4".

Figure 17. Example of a My Tasks dashboard panel with a **Complete tasks with bulk workflow actions** window

The number 3 corresponds to the number of categories (workflows) assigned to you, not the number of actual tasks.

If you go to the **My Tasks** tab on the Home page, the **Complete tasks with bulk workflow actions** window is displayed. Click the count to expand the view:

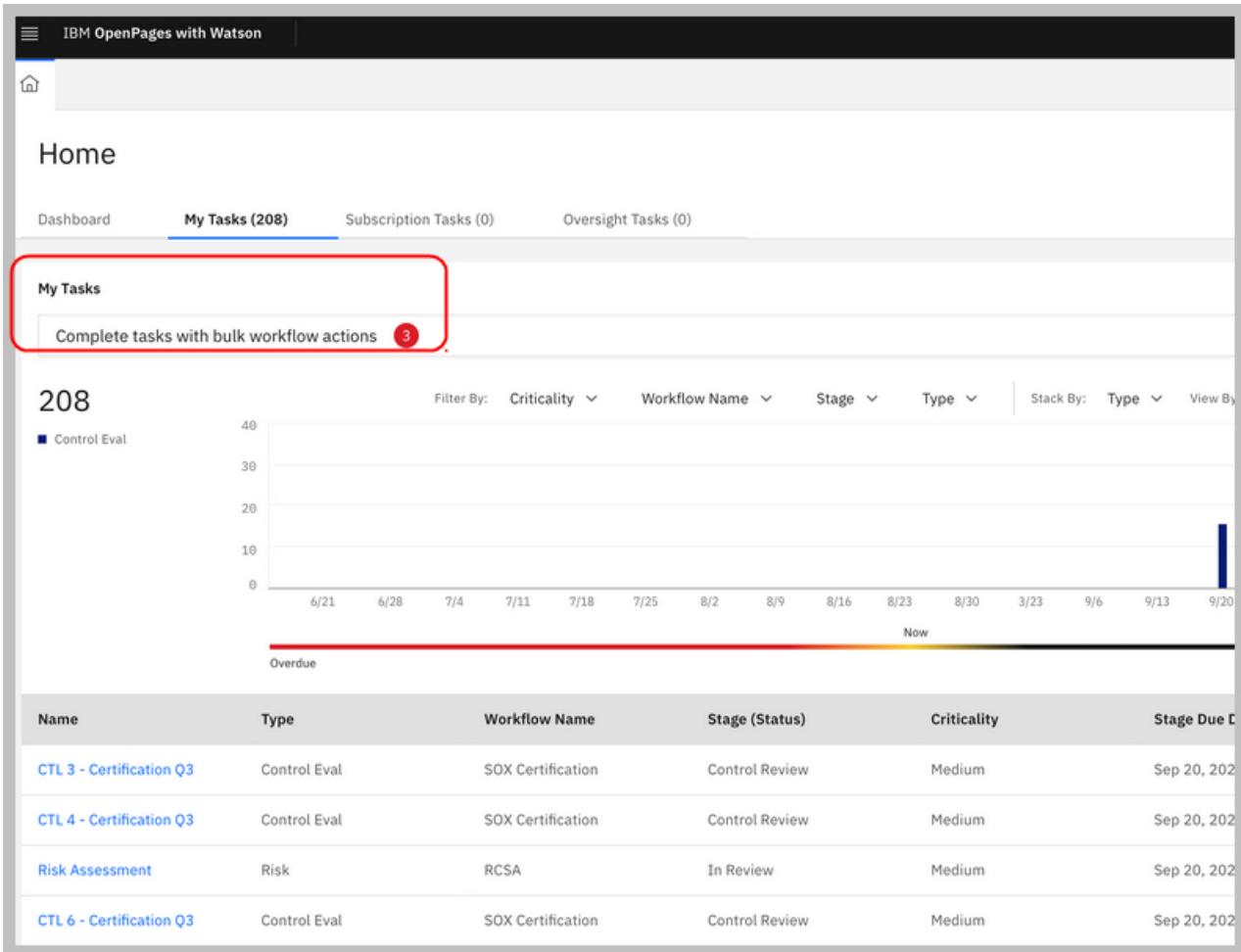


Figure 18. Example of a My Tasks tab with a **Complete tasks with bulk workflow actions** window

From either access point, when you click a category, a Grid View opens where you can work with tasks. In the following example, you selected to work with tasks that are related to Risks (the RCSA workflow). The workflow is displayed in **Workflow Name** in the header. The stage is displayed next to the workflow name. In this example, you have 43 risk assessments to review. Select one or more rows with the checkmark. The options that are displayed in the toolbar are **Approve**, **Reject**, and **Return**.

Name	Description	Stage (Status)	Risk Category	Inherent Risk Rating	Residual Risk Rating
Risk Assessment 1	Risk	In Review	Client, Product	Low	Low
Risk Assessment 2	Risk	In Review	Execution	Low	Low
Risk Assessment 3	Risk	In Review	Execution	Low	Low
Risk Assessment 5	Risk	In Review	Execution	Low	Low
Risk Assessment 7	Risk	In Review	Client, Product	Low	Low
Risk Assessment 11	Risk	In Review	Client, Product	Low	Low

Figure 19. Example of a Grid View for bulk workflow actions

Procedure

1. Go to the **My Tasks** tab or dashboard panel, the **Subscription Tasks** tab or dashboard panel, or the **Oversight Task** tab or dashboard panel.
2. Expand **Complete task with bulk workflow actions**.
3. Choose a category.
A Grid View opens.
4. Optional: Select all, one, or many objects with the checkmark and click **Bulk Update**. For more information, see [“Applying changes to multiple objects with bulk update in a Grid View” on page 48](#).
5. Select one or more rows with the checkmark and choose an option in the toolbar.
6. Click **Confirm**.
7. Repeat the steps until you have worked through your tasks.

Opening a Quick View

Use a Quick View to view or edit a selected or related object or create an object in a small sidebar without leaving the original object.

About this task

A Quick View is accessed from several places in the system, for example, a Grid View, Grid relationship field in a Task View, or a tree diagram.

If you open a Quick View from a Task View, the Task View where you started becomes read only.

All of the functionality that is available in a Task View is also available in a Quick View with the following exceptions:

- Actions in relationship fields except for New (direct children only)
- User Guidance
- The IBM Watson Insights button that supports IBM Watson cognitive technology

Procedure

1. Open a Grid View or a Task View.

For information about how to access a Grid View View, see “[Using Grid Views to find, open, and work with objects](#)” on page 35.

For information about how to access a Task View, see “[Completing work that is assigned to you](#)” on page 37.

2. Click  next to the object you want to open.

The object opens in Quick View.

3. From a tree diagram, click a circle title where there is only one object at that level.

The object opens in a Quick View.

4. In a Quick View, you can:

- View an object.
- Edit an object, either field-by-field or in edit mode.
- Click  to search for fields in the Quick View.
- Mark an object as a favorite.
- Start a workflow action.
- Create a new child object of the object that is open.
- If a tree diagram is displayed, drill through to other objects.
- Click  to expand the Quick View to open the object in a new tab. The object opens in the Task View for the object type. Full functionality is then available.

5. Close the Quick View.

Applying changes to multiple objects with bulk update in a Grid View

Administrators can edit information for multiple objects by using the bulk update function.

Before you begin

You must have the Bulk Update All Fields permission to access the bulk update function.

About this task

- Identify field values to change and objects to update. The fields that you identify are updated in all objects that you select.
- You can also leave fields unchanged or clear the values in a field.
- Administrative settings might prevent you from updating an object.
- All objects that generate no errors are updated.
- Field dependencies, locks, and permissions might prevent you from modifying selected objects. The objects that you can modify are saved with the changes, while the others are not changed.
- You cannot clear required fields.

Administrators configure the fields that are available in bulk update. Depending on how the view is configured, more fields might be displayed in bulk edit than are displayed in the Grid View.

Read only fields, for example, computed fields, workflow fields, and system fields that are read only are not available for selection in bulk update.

Changing the value of a picklist that is the controller of other pick lists can invalidate the values of the dependent pick lists. Therefore, if you use bulk update to change a controller or dependent picklist, all other picklists that are involved in the dependency are automatically added as bulk update fields. Update the field values based on the list of new options.

Procedure

1. Open a Grid View.
For more information, see [“Using Grid Views to find, open, and work with objects” on page 35](#).
2. Select all, one, or many objects with the check mark and click **Bulk Update**.
The bulk update side panel opens. The number of objects that are selected is displayed.
3. In **Select fields to bulk update**, choose the fields that you want to change. Type letters to find fields.
4. Provide the changes:
 - Enter new values in the fields.
 - Click **Clear Values** to clear the values in a field.
If a field is required, you cannot clear its values.
5. Review the list of changes to be applied. If a field is listed that should not be updated, click the remove icon to remove it from bulk update.
6. Click **Update**.
7. A summary of the proposed updates is displayed. Review the changes and click **Confirm**.

What to do next

Objects are updated. If you remain on the confirmation window during processing, the Bulk Update Report window is displayed when the process is finished. It shows the number of object updates that succeeded and failed. Object updates that failed are listed with a reason. If you close the confirmation window during processing, you can review the bulk update results in Notifications or the email that you receive.

Adding and removing tags from multiple objects in a Grid View

You can edit the tags for multiple objects by using the **Manage tags** button in Grid View.

Before you begin

You can add and remove tags from an object only under the following conditions:

- The object must be unlocked.
- You must have write access to the object.
- You must be in the current reporting period.
- When you are adding tags, the number of tags must be less than the maximum of 25 tags per object.
- The object must be unlocked.
- You must have write access to the object.
- You must be in the current reporting period.
- When you are adding tags, the number of tags must be less than the maximum of 25 tags per object.

Because you are editing multiple objects, some objects might meet these conditions while others might not. The objects that don't meet the conditions are not changed. For example, if you select two objects and one already has 25 tags, no tags are added to that object, but they are added to the other object. If one object is read-only due to security rules, the tag changes are not applied to that object but they are applied to the other objects. If any failures occur, a report is displayed to explain the failures.

For more information about tags, see [“Tags” on page 20](#).

Procedure

1. Open a Grid View.
For more information, see [“Using Grid Views to find, open, and work with objects” on page 35](#).
2. Select all, one, or many objects with the checkmark and click **Manage tags**.

The **Manage tags** panel opens. The number of objects that are selected is displayed.

3. To add tags:
 - a) In the **Select tags to add** drop-down box, you can either type characters to find tags or you can click the arrow to display a list of tags.
 - b) Select the tags that you want to add.
4. To remove tags:
 - a) In the **Select tags to remove** drop-down box, you can either type characters to find tags or you can click the arrow to display a list of tags.
 - b) Select the tags that you want to remove.
5. Click **Save**.

Results

In the Grid View, you can see the changes that you made to the tags for the selected objects in the **Tags** column.

Viewing change history on the Activity tab

Use the **Activity** tab on a task to view modifications that were made to an object.

If you are a member of the OP Administrators Group, you can see all activities on all fields. Otherwise, you can only see activities for fields that are in your view and that you have access to based on your profile.

About this task

Change history is read-only and cannot be changed. Change history is displayed for the selected reporting period. For more information, see [“Changing the reporting period” on page 15](#).

Procedure

1. Open a task.
For more information, see [“Completing work that is assigned to you” on page 37](#).
2. Click the **Activity** tab.
Change history for the object is displayed.
3. Compare values in the **Old Value** and **New Value** columns.
4. Optional: Filter the change history by the following criteria:
 - Field - displays changes to field values
 - Relationship - displays changes to object associations
 - Workflow - displays changes to workflow stages and statuses

Exporting data from filter results

You can export data into a spreadsheet (.xls format) from a Grid View. All objects that match the filter criteria, if applied, are exported.

About this task

You can tailor the fields and objects that are exported based on what you want to do with the data.

Your administrator sets the maximum number of items that you can export. If you exceed this limit, you must reduce the number of items in the filter results, or select fewer levels of object types to export.

Procedure

1. Open a Grid View.

You can access a Grid View from various parts of the UI. The following steps are examples of how you can access a Grid View.

- Click  to open the Primary menu. Find the object type that you want to work with. A Grid View opens.
- Click a color in a chart in a Task View or on the Dashboard. A Grid View opens with objects in that portion of the chart.

2. Apply filters, as needed.

3. Use FastMap to export all or selected objects into a spreadsheet (.xls format).

- Click  to export all objects of that object type.
- Use the check boxes to select the object types to include in the export.

The object types that are displayed are determined by your profile. The number of levels in the object type path is configured by an administrator. For example, if you are exporting Policies, you might see the option to export Procedures as well.

4. Click **Export**. A Microsoft Excel file in FastMap format is created. A link is displayed in the tray.

All fields that are available for your profile are exported.

FastMap is an import capability, which might be configured for you by your administrator. You can edit the data in the workbook and then import it with FastMap.

For more information, see "Using FastMap" in the *IBM OpenPages with Watson Administrator's Guide*.

Editing objects in a Task View

You can edit fields for a single object from a Task View.

Before you begin

Consider the following information before you edit an object in a Task View.

- You cannot edit the following object fields: Folder, Creation Date, Created By, Last Modification Date, Last Modified By.
- Remove all signature locks, including inherited locks before you edit an object.
- If you and another user simultaneously edit the same object, or if another user changes the object after you retrieve it, an error message notifies you of a conflict.
- Do not edit the same object instance simultaneously in two separate browser tabs or browser windows. Doing so might cause unexpected results.
- You can edit an item that is associated with an object from the object page.

Procedure

1. Access the object that you want to edit. Open the object in a Task View. For more information, see ["Completing work that is assigned to you" on page 37](#).
2. Hover over fields in the Task View. The  edit icon is displayed next to fields that are available for editing.
3. Make the change.
4. Edit other fields.
5. Click **Save**.

Copying objects

If configured, you can copy an existing object to quickly create an object with similar values.

About this task

Whether you are allowed to copy objects depends on your permissions and how your system has been configured.

If copy is configured for an object type, a copy button is available in a Task View. It can display in a card or grid relationship field.

The functionality of the copy function, including how child objects are named and how conflicts are resolved, depends on how the copy recursive action is defined in the card or grid relationship field.

For more information about copy recursive, see *Using FastMap* in the *IBM OpenPages with Watson Administrator's Guide*.

Procedure

1. Access the object that you want to edit. Open the object in a Task View. For information, see [“Completing work that is assigned to you” on page 37](#).
2. Scan through the Task View and locate the Copy button.
3. Click **Copy** (the button might have a different name).
4. Finish your task.
5. Click **Copy**.

A duplicate instance of the object or child objects is created.



Attention:

- You cannot copy a Business Entity onto itself.
- If the number of selected objects to copy is greater than a specific value, then the copies are created in the background as a long-running process.

Go to background processes to review the status of long-running processes.

You receive an email when the copies are finished. The email contains links to a process report and to the object's task view.

The administrator can change the default number of copies for long-running processes.

Deleting objects

If configured, you can delete an object from the current reporting period.

About this task

Whether you are allowed to delete objects depends on your permissions and how your system has been configured.

An object must be unlocked before it is deleted. After you delete an object, it cannot be recovered.

However, if the deleted object was included in a previous reporting period, you can view details that are associated with that object through reports. Folders that are generated by the system cannot be deleted. Consider the following information before you delete an object:

- When you delete a parent object, any child objects, associated issues, or action items are also deleted.
- When you delete a business entity, child objects, associated objects, or subentities that are in the same folder, including attached external documents, are deleted.
- If you delete a control object, any associated tests and attached external documents are deleted.

- Make sure that all important information that is contained in an associated test is preserved before you delete a control.
- You might be able to delete only objects in a folder and not the folder. If you are allowed to delete a folder, all contents are deleted. For a file, all versions are deleted.
- If the file Check In/Check Out feature is configured, a file must be checked in before it can be deleted.

Procedure

1. From the Primary menu, select the object type.
2. In the Grid View, use the check mark to select each object that you want to delete.
3. Click .
4. Click **Delete** to verify the deletion.

Renaming an object from a Task View

You can rename objects from a Task View.

About this task

Whether you are allowed to rename objects depends on your permissions and how your system has been configured. This applies to self-contained objects only. You can only rename objects in a folder and not the folder itself.

Objects that reside in the same folder must have a unique name. When you rename a folder, its contents (primary associations) will also be moved to the renamed folder. If the Check In/Check Out feature is enabled, you can only rename a file that is checked in. Folders that are generated by the system cannot be renamed.

Procedure

1. Access the object that you want to edit. Open the object in a Task View. For information, see [“Completing work that is assigned to you” on page 37](#).
2. Click  next to **Name**.
3. Click **Save**.

Chapter 5. Creating and associating objects

You can create object instances and you can create associations among objects, or between objects and attached files.

Creating object instances

In IBM OpenPages with Watson, you can create object instances from several launch points.

Whether and how you can create object instances depends upon how your system is configured and the permissions that have been granted by your administrator.

There are several possible launch points:

- From a Grid View.

Click  > **[object type]**. A Grid View for that object type is displayed. Click .

- From a Dashboard panel that is configured to add new objects.

Click . The Home page is displayed. Look for a panel that allows you to create objects. The panel will have a button with a label such as New Control or New Risk.

If you do not have such a panel, you might be able to create one, depending on your permissions. For more information, see [“Adding a custom panel ” on page 29](#).

- From a Task View that allows you to create child objects.

Depending on the object type, a Task View might display buttons where you can create child objects. Access a Task View by working on a task that is assigned to you or opening an object from a Grid View. In this case, the primary parent is set to the object of the task you were working on.

- From a Task View that allows you to copy child objects.

Access a Task View by working on a task that is assigned to you or opening an object from a Grid View. Depending on the object type, a Task View might display a Copy button. You can make a copy of a child object and then edit the new object to meet your requirements.

For more information, see [“Copying objects ” on page 52](#).

The following example shows the screen, called a Creation View, that is displayed by clicking  > **Assessments** > **Controls** and then clicking .

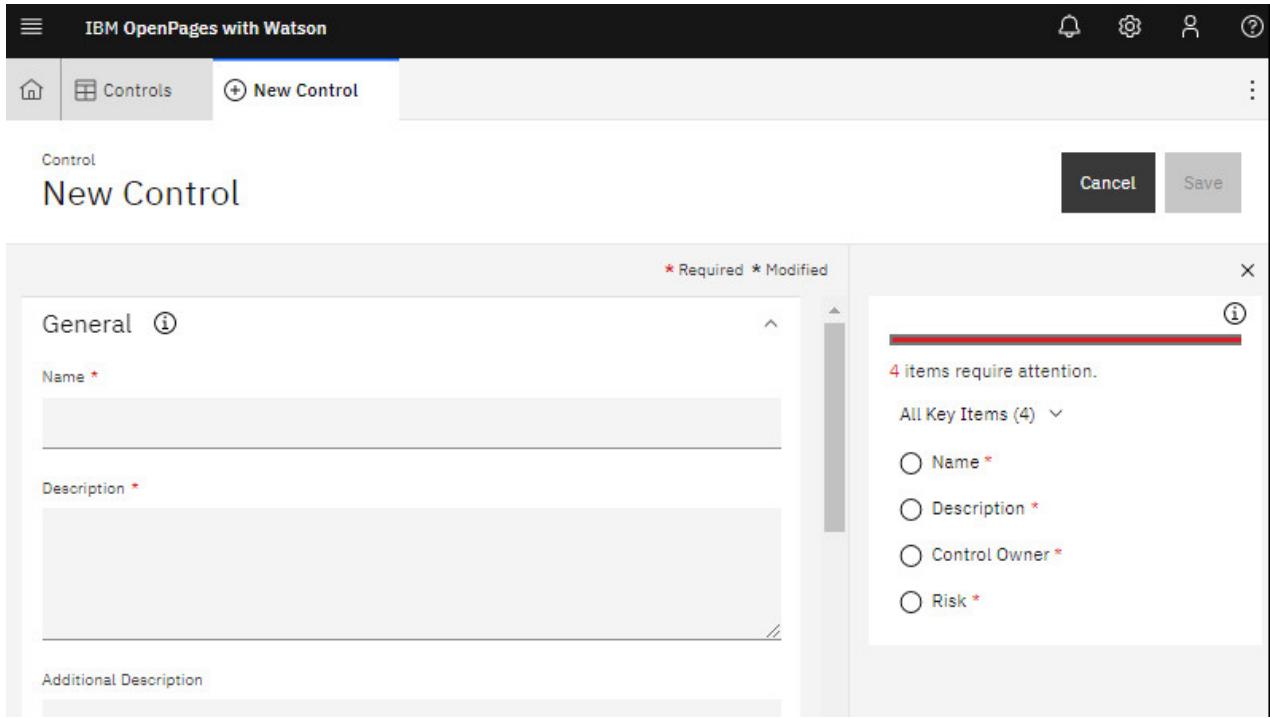


Figure 20. Example of creating a Control object

The process of creating an object instance has the following features:

- The **New +** button and **New [object type]** label might be named differently, depending on your configuration.
- If the auto-naming setting is enabled for an object type by your administrator, a name is automatically assigned to the new object instance.
- When you create a child object, depending on the access point, you might have to select the parent object or it might be set for you.

Look for **Set Primary Parent** and **Add** buttons in the **Parent** section of the **Admin** tab for the object.

- When you create a parent object, you might be able to select child objects to link to the new object instance.

Look for the **New** or **Add** buttons on the **Admin** tab for the object.

- The **New**, **Set Primary Parent**, and **Add** buttons might be named differently, depending on your configuration.
- You might be able to add file attachments.

Look for the **Add** and **New/Update** buttons.

- A new object instance cannot be saved until all required fields are complete.
- If the text *Adding a description improves IBM Watson Suggestions* is displayed below a field, IBM Watson cognitive technology has been implemented. It can support you by providing taxonomy suggestions and/or object association suggestions. For more information, see “[Natural language processing services](#)” on page 18.
- Use the supporting information in inline guidance to help you understand what you need to do.
- Use the information text and progress bar in user guidance to view a task's status:

Table 13. Colors in the progress bar

Color	Status	Includes
Red	Not ready	<ul style="list-style-type: none"> – Required fields that are empty. – Required fields that have invalid values. – Optional fields that have invalid values.
Green	Ready	Required and optional fields that are finished and have valid values.
Gray	Ready	Optional fields that are empty.
Black	Not ready	Fields that need to be revalidated. Click Save.

You must address fields that display as red in the progress bar. Review all optional fields and, if possible, provide values for those that display as gray.

Use the key items that are listed in user guidance as your navigation point to important fields. Filter the list of key items by all key items, key items that need attention, or key items that are incomplete. Key items that need attention are included in red in the progress bar.

- Use the supporting information in inline guidance to help you understand what you need to do.

Rules for naming objects

Use the following conventions to name objects:

- The maximum length of an object name is 252 characters.
- If auto-naming is enabled, the name of the object is automatically created.
- Only the following special characters are allowed:

```
~@^()_+`[]{};'.!#%&*,'^>:"|?
```

The forward slash / and backward slash \ are not allowed.

Creating objects from a Grid View

You can create objects, for example, Risks, Risk Assessments, Controls, and Processes.

About this task

You can create objects by clicking  from a Grid View.

From this access point, the parent object is not known. The view contains a relationship field that allows you to select a parent object.

Procedure

1. Click  to open the Primary menu.
2. Click the object type.
The Grid View opens.
3. Click . If you are creating an object by working on a task that is assigned to you, begin here.
4. Type or review a name for the object.

If auto-naming is not enabled, you must enter a name.

If auto-naming is enabled, a name is automatically entered for you and might be read-only, depending on the configuration.

5. Complete the required fields.
6. Complete the optional fields, as needed. Use the supporting information in the field guidance, inline guidance, and user guidance, if it is configured.
7. As you complete the fields, other field values might automatically be set to values and be read-only. This happens if the field you completed is an input field for a calculation. For more information about the GRC Calculations feature, see the *IBM OpenPages with Watson Administrator's Guide*
8. Provide a parent and child object associations as needed. A primary parent object is required for most object types. The labels depend on the type of object you are creating. For example, when you create an Issue, the buttons might be labeled **Select Impacted Business Entity**, **Select Impacted Control**, and **Select Impacted Policy**. When you create a new Control, the button might be labeled **Select Risk**. For more information about making associations, see “[Associating objects using a card relationship field](#)” on page 61 and “[Associating objects using a grid relationship field](#)” on page 60.
9. If the text *Adding a description improves IBM Watson Suggestions* is displayed below a field, IBM Watson cognitive technology has been implemented. It can support you by providing taxonomy suggestions and/or object association suggestions. For more information, see “[Natural language processing services](#)” on page 18.
 - a) Click the IBM Watson Insights button. The button label displays briefly as IBM Watson Insights and then changes to the classifier field label or action label. The button displays only if Watson can make suggestions given the value you entered in the field noted by the text *Adding a description improves IBM Watson Suggestions*.

A list of suggestions displays in the IBM Watson Insights panel together with confidence scores.

 - If cognitive technology has been configured to make taxonomy suggestions, a list of suggested classifications is displayed.
 - If cognitive technology has been configured to make object association suggestions, a list of suggested objects is displayed.
 - b) Make a selection.
 - If cognitive technology has been configured to make taxonomy suggestions, the system populates up to three classifier target fields, for example, the Risk Category, Risk Sub-Category and Risk Example fields. You can manually populate the classifier target fields if they are included in the view.
 - If cognitive technology has been configured to make object association suggestions, the system updates the object's parent or child associations.

You might be able to choose multiple suggestions.
 - c) If you do not want to use any of the suggestions, close the panel. To generate a new list of suggestions, change the text in the classifier input field, for example, the **Description** field. Click the IBM Watson Insights button again.
10. Click **Save**.

Creating objects from a Dashboard panel

You can create objects from a Dashboard panel.

Before you begin

Verify that your Dashboard contains a panel that allows you to create objects. If you do not have such a panel, you might be able to create one, depending on your permissions. For more information, see “[Adding a custom panel](#)” on page 29.

About this task

From this access point, the parent object is not known. The view contains a relationship field that allows you to select a parent object.

Procedure

1. Click .
2. Look for a panel that allows you to create objects. Click a create button in a panel that has a button with a label such as Create Control or Create Risk.
The Creation View opens.
3. Complete the steps as described in [“Creating objects from a Grid View” on page 57](#).
4. Click **Save**.

Creating child objects from a Task View

You can create child objects, for example, Issues and Actions, from their parent objects.

About this task

Depending on the object type, a Task View might display buttons where you can create child objects. Access a Task View by working on a task that is assigned to you or opening an object from a Grid View.

From this access point, the primary parent is set to the object of the task you were working on. The view might contain a relationship field that allows you to select a different parent object and child objects.

Procedure

1. Open an object from a Grid View or access a task that has been assigned to you. For more information, see [“Completing work that is assigned to you” on page 37](#).
2. Review the object.
3. Find a section with a label for the child object type and buttons such as **New Issue** or **New Control**.
For more information about making associations, see [“Associating objects using a card relationship field” on page 61](#) and [“Associating objects using a grid relationship field” on page 60](#).
The Creation View opens either in a new tab or in the side bar, depending on the configuration.
4. Complete the steps as described in [“Creating objects from a Grid View” on page 57](#). The only difference is that the parent object must not be provided.
5. Click **Save**.

Associations between objects

You can link objects to form a hierarchical tree view of a company governance, risk management, and compliance structure - from the business entity level down to the details of each individual risk, control, and test.

The process of linking objects is called association. Associations are relationships that exist among objects, or between objects and attached files. Associations can be created or removed without affecting the related object or file.

The IBM OpenPages with Watson Object Model Framework contains business logic that governs the following rules:

- The type of objects that can be associated together. For example, in the standard object model, a control object can be associated with a risk and test plan but not with a process.
- The relationship of objects in the hierarchy, for example, parent-child or stand-alone.

In a parent-child hierarchical relationship, the object that initiates the association is the parent object, and the object that is the target of the association is the child object. Depending on your object model, if an object type is allowed to have multiple parent objects through association, that child object can have only one primary parent association. The parent-child relationship that exists between objects affects how certain operations such as copy, delete, association, and locking are performed by the application. For example, when a user locks a parent object, all its associated child objects are also locked and cannot be modified until the lock is removed.

Depending on the object type, you might be able to link multiple parent or child objects to it. For example, a Risk object can have multiple parent objects, such as Control Objectives and Risk Assessments, child objects such as Controls and Issues, and files and links. Associations can be created or removed without affecting the related object or file.

Associations can be displayed in views either as card or grid relationship fields. Functionality is mostly the same but there are slight visual differences. For more information, see:

- “[Associating objects using a grid relationship field](#)” on page 60
- “[Associating objects using a card relationship field](#)” on page 61

Associating objects using a grid relationship field

You can associate objects using a grid relationship field in a Task View.

About this task

The following example shows a two grid relationship fields, one for business entities and one for audits.

The screenshot shows a web-based application interface for 'IBM OpenPages with Watson'. At the top, there's a navigation bar with icons for Home, Controls, Risks, and Abrucca Limi... (partially visible). A dropdown menu shows '00 - Payroll ...'. Below the navigation is a title '00 - Payroll Processing - Manage Database ☆'. The main area has tabs for 'Task' (selected) and 'Activity'. A search bar and a 'Reveal editable fields' toggle are on the left. On the right, there are two sections highlighted with red boxes:

- Primary Business Entity:** Shows a single row for 'Abrucca Limited' with a 'Description' field containing 'Legal Entity'. To the right are buttons for 'Set Primary Business Entity' and 'Update Other Business Entity'.
- Audit:** Shows two rows: 'Accounts Receivable - 2010' (with description 'Accounts Receivable for North America Retail Banking') and 'NA Firewalls - 2008' (with description 'Firewalls help fulfill our data security strategy maintain compliance with security and privacy regulations'). To the right of each row is a 'Select Audit' button.

Figure 21. Example 1: Selecting a primary parent

Procedure

1. Create a new object or access the object you want to work on.
2. Use the buttons to take the action you want to complete.

Associating objects using a card relationship field

You can associate objects using a card relationship field in a Task View.

About this task

The following example shows two card relationship fields, one for mandates and one for issues. The card relationship field for issues allows you to both associate issues and create a new issue.

The screenshot shows the IBM OpenPages with Watson interface. At the top, there is a navigation bar with icons for Home, Abrucca Limited, Accounts Receivable, and Issues. Below the navigation bar, the title 'Abrucca Limited_LE_0001' is displayed with a star icon. The interface is divided into 'Task' and 'Activity' sections. The 'Task' section contains three cards, each with a title, a detailed description, and a 'more' link. The first card is titled 'BCBS 239: Principles for Eff...', the second is 'BCBS: Minimum Capital Req...', and the third is 'EU Directive on Security of ...'. The 'Activity' section is highlighted with a red box and contains a search bar with placeholder 'Search', a 'New Issue' button, and an 'Associate other issues' button. Below the search bar, there is a table header with columns 'Name', 'Description', and 'Priority'. A message 'No results' is displayed below the table.

Figure 22. Example of a card relationship field

Procedure

1. Create a new object or access the object you want to work on.
2. Use the buttons to take the action you want to complete.

Disassociating objects

You can associate a child or parent object, file, or link to an object. For example, from a Risk object, you can add links to parent objects, such as Control Objectives and Risk Assessments. You can also remove links to child objects, files, or links. When you disassociate an object, only the association or link between the objects is removed. The objects remain unaffected.

Procedure

1. Access the object you want to work on.
2. In a grid relationship field, select the object with a check mark. Click **Remove**.

3. In a card relationship field, click  (Launch Grid Page). From the grid page, select the object with a check mark and then click **Remove**.

Primary parent association

When a child object is added from the Admin View of a parent object, it is considered to be a "primary child". The child object is automatically associated with that primary parent object upon creation and the child object has the same folder path as the primary parent.

Object types that are allowed to have multiple parent objects through association can have only one primary parent association. For example, if Control-01 was added from the Task View of Risk-01 and was also associated to Risk-02, Control-01 would have two parents: Risk-01 and Risk-02. However, only Risk-01 would be considered the primary parent of Control-01.

A primary parent object is identified with the  icon in grid and card relationship fields and the **Primary Parent** label in a Tree diagram.

When primary associations are enabled:

- You can change an object's primary association from one parent object to another by reassigning the primary parent.
- Any reassignment of the primary association from one parent object to another parent object is reflected on the Activity tab of an object.
- A child object with multiple parents that is disassociated from its primary parent object is automatically reassigned a new primary parent.
- Cascading operations on objects (such as sign-off, delete, locking or unlocking), are based on primary associations.
- Objects with multiple parents that are not included in a cascade delete operation (such as issues and action items) are automatically reassigned a new primary parent.
- Copy operations on objects duplicate existing associations (including primary associations) whenever possible. A new primary parent association is also assigned to the first association.

Changing the primary parent association

An object can have only one primary parent. If an object has multiple parent objects, you can change the primary association from one parent object to another one.

About this task

Any previous primary parent remains associated but becomes secondary, even if the previous primary parent was of a different object type. If there is only one parent of that type allowed, the newly selected parent replaces any previously selected parent of the same type.

Procedure

1. Access the object you want to work on.
2. Find the section that contains the parent objects.
3. Click **Select primary**.
4. Choose a different object.
5. Click **Done**.

The **Primary Association** icon is displayed next to the name of the new primary parent object.

Chapter 6. Using filters in Grid Views

The filters that are available in Grid Views are useful tools that make finding information more personalized and manageable.

You use filters to limit the information that is displayed in a list of objects. Only objects that match the criteria are displayed in the list.

The following types of filters are available in Grid Views:

- The Search box

Use the Search box to do a quick search for specific values on the objects that are listed in a Grid View.

For more information, see [“Finding objects with the Search box” on page 63](#).

- Folder filters (Business Entity)

Use a folder filter (Business Entity) to find objects based on the folder hierarchy that the object type belongs in.

A folder filter displays objects of the same type in a folder hierarchy.

For more information, see [“Using folder filters \(Business Entity\)” on page 64](#)

- Public filters

Use a public filter to find objects based on criteria on field values on objects and, optionally, parent objects.

Public filters are defined by administrators. You can select one of these filters but you cannot edit or delete them.

For more information, see [“Using public filters” on page 65](#).

- Private filters (My Filters)

Use a private filter to find objects based on criteria on field values on objects and, optionally, parent objects.

Private filters are filters that you define and save. You can edit, rename, or delete private filters.

The functionality of public and private filters is the same. The only difference is that you define your own private filters, whereas public filters are defined by an administrator.

For more information, see [“Defining private filters” on page 66](#) and [“Using public filters” on page 65](#).

- Ad hoc filters

Ad hoc filters are private filters that are used in one session and not saved.

For more information, see [“Using ad hoc filters” on page 68](#).

Finding objects with the Search box

Use the Search box to do a quick search for specific values on the objects that are listed in a Grid View.

About this task

You can enter text in the language of your locale. For example, if the locale is French, enter the text in French.

You can also enter text in English in any locale. For example, if the locale is French, enter the text in English and it returns matching objects and displays them in French.

The search criteria is retained the next time that you access the view in the same browser session.

Procedure

1. Open a Grid View.
2. Click in the **Search** box. You can search by using any of the following actions:
 - Enter either all or part of an object's name or description, and press Enter.
 - Enter a letter from the name of an enumerated field or a tag, such as S for Status. A list of matching enumerated fields and tags that are in the view are displayed.
 - Choose a value for an enumerated field or tag. For example, if you select Status:Approved, the list narrows to objects that have a Status of Approved.
 - Choose multiple values for an enumerated field. Make a selection, such as Status:Approved, and choose a second value for the same enumerated field, such as Status:Awaiting Assessment. The list narrows to objects that have a Status of either Approved or Awaiting Assessment.
 - Choose different enumerated fields or tags. For example, if you select Status:Awaiting assessment and then select Inherent Risk Rating:Very High, the list narrows to objects that have a Status of Awaiting assessment and that have an Inherent Risk Rating of Very High. Similarly, if you select the tag Change Management and then select the tag Business Continuity, the list narrows to objects that have the tags Change Management and Business Continuity.
 - Choose multiple values for different enumerated fields. For example, if you select Status:Approved, Status:Awaiting Assessment, Inherent Risk Rating:High, and Inherent Risk Rating:Very High. The list narrows to objects that have a Status of either Approved or Awaiting Assessment and that also have an Inherent Risk Rating of either High or Very High.
3. Optional: To further refine your search, apply a public or private filter.
For more information about filters, see [“Using public filters” on page 65](#) and [“Using private filters ” on page 65](#).
4. Optional: To further refine your search, apply a folder filter.
For more information about folder filters, see [“Using folder filters \(Business Entity\)” on page 64](#).
5. Click the filter name in the header to remove the filter.
The filter is removed and the list is refreshed.

Using folder filters (Business Entity)

Use a folder filter (Business Entity) to find objects based on the folder hierarchy that the object type belongs in.

About this task

Folder hierarchies are defined by administrators by using  > **System Configuration** > **System Files**. If you are not an administrator, you can select folders in the hierarchy but you cannot add to or edit the hierarchy.

Procedure

1. Open a Grid View.
2. Click .
3. Click **Select** next to **Business Entity**.
A folder hierarchy is displayed.
4. Navigate through the path and select one folder. Multiple folders cannot be selected.
The filter is applied and objects that match the filter criteria are displayed. The name of the filter and number of results are displayed in the header.
5. Click **Done**.

6. Optional: To further refine your search, enter search criteria in the Search box.
For more information, see “[Finding objects with the Search box](#)” on page 63.
7. Optional: To further refine your search, apply a public or private filter.
For information, see “[Using public filters](#)” on page 65 and “[Using private filters](#)” on page 65.
8. Click the filter name in the header to remove the filter.
The filter is removed and the list is refreshed.

Using public filters

Use a public filter to find objects based on criteria on field values on objects and, optionally, parent objects.

About this task

Public filters are defined by an administrator.

Only one public filter can be applied at a time.

You can apply a public filter, a folder filter, and search criteria that you enter in the Search box. An object must match all the criteria to be displayed in the Grid View.

You cannot apply both a public filter and a private filter.

Procedure

1. Open a Grid View.
2. Click .
3. Select one of the filters listed under **Public Filters**.
The filter is applied and objects that match the filter criteria are displayed. The name of the filter and number of results are displayed in the header.
4. Optional: To further refine your search, enter search criteria in the Search box.
For more information, see “[Finding objects with the Search box](#)” on page 63.
5. Optional: To further refine your search, apply a folder filter.
For information, see “[Using folder filters \(Business Entity\)](#)” on page 64.
6. Click the filter name in the header to remove the filter.
The filter is removed and the list is refreshed.

Using private filters

Use a private filter to find objects based on criteria on field values on objects and, optionally, parent objects.

About this task

Private filters are filters that you define for your own use.

Only one private filter can be applied at a time.

You can apply a private filter, a folder filter, and search criteria that you enter in the Search box. An object must match all the criteria to be displayed in the Grid View.

You cannot apply both a public filter and a private filter.

Procedure

1. Access a Grid View

2. Click  to access the filters.

The filter panel expands. A count shows the total object count with no filters applied.

3. Select one of the filters listed under **My Filters**.

If you don't see any filters, you can add one. See "[Defining private filters](#)" on page 66.

The filter is applied and objects that match the filter criteria are displayed. The name of the filter and number of results are displayed in the header.

4. Optional: To further refine your search, enter search criteria in the Search box.

For more information, see "[Finding objects with the Search box](#)" on page 63.

5. Optional: To further refine your search, apply a folder filter.

For information, see "[Using folder filters \(Business Entity\)](#)" on page 64.

6. Click the filter name in the header to remove the filter.

The filter is removed and the list is refreshed.

Defining private filters

Define a private filter in a Grid View to save search criteria that you frequently need to access.

Before you begin

When you define fields in a private filter, only fields that are available for your profile are displayed. If the fields you want to define in a private filter do not display, ask your administrator to check your profile.

About this task

A private filter is used to find objects based on criteria on field values on objects and, optionally, parent objects.

A private filter definition contains two kinds of criteria:

- Conditions on the object type that is displayed in the Grid View.

- This criteria is required in a private filter.
 - One condition is required.

– If you define multiple conditions on the object type, all the conditions must be met. To override this rule, define advanced logic to combine the condition in a specific way.

For example, if you define three conditions, the default logic is that system retrieves objects that match all three conditions: 1 and 2 and 3. However, if you define advanced logic, you use the condition numbers together with the operators and, or, not, and parentheses to build a more refined statement. For example, a statement can be 1 or 2 or 3 or a statement can be 1 and (2 or 3).

- Conditions on a selected parent object type of the object type that is displayed in the Grid View.

For example, on a Grid View for Risks, a parent-based filter can narrow the list of Risk objects to only those Risks that have a Process object as a parent. You can add a condition to further refine the search to only Risks where the parent Process objects has a status of Awaiting Approval.

- This criteria is optional in a private filter.
 - Conditions are optional.

If a private filter has both types of criteria, an object must match both to display in the Grid View.

Procedure

1. Click  to open the Primary menu.
2. Find the object type that you want to work with.

A Grid View opens.

3. Click .
4. Click **New Filter** next to **My Filters**.
5. Enter a **Name**.
6. Click **New Condition** to define a condition for the filter.
7. Select a **Field**.
8. Define an **Operation**.
 - a) Select or define the values that the filter is based on. How the operation is defined depends on the field type of the field you chose in **Field**.
 - For an enumerated field, choose one or more enumerated values in **Selected Values**. Set **Show hidden values** to control whether hidden values are displayed for selection.
 - For a user field, choose **Me** and/or other users or user groups (if displayed).
 - For a text field, choose **Starts with**, **Contains**, **Equals**, or **Ends with**. Enter a value.
 - Text is not case-sensitive.
 - An underscore (_) is used a single character wildcard.
 - A percent (%) is used as a multiple character wildcard.
 - For a date field, choose **In the last**, **In the next**, **On a specific date**, or **In the range**. Enter a value or date range.
 - For integer, decimal, and currency fields, choose **Equals**, **Greater than**, **Less than**, or **In the range**. Enter an amount.
 - For a Boolean field, choose **True** or **False**.
 - Computed fields, long string fields, and reporting fragments are not supported.
- b) Click **Done**.

The condition is saved and assigned a number. Conditions are numbered consecutively in the order they are defined.
- c) Optional: Add more conditions.
9. Optional: Set **Advanced Logic** to true to override the default rule that all conditions must be met.
 - a) Write a statement in **Logic**. Use the condition numbers together with the operators and, or, not, and parentheses.

For example:

 - 1 or 2 or 3
 - 1 and (2 or 3)
10. Optional: Expand **Parent Criteria** to filter on the parent object.
 - a) Choose a **Parent Type**.
 - b) Set **Primary Parent Only** to true to filter only by the primary parent.
 - c) Click **New Condition** to define conditions on the parent object. Parent criteria must have one condition.
 - d) Select a **Field**. You can choose any field on the parent object type.
 - e) Define an **Operation**. Select or define the values that the filter is based on. How the operation is defined depends on the field type of the field you chose in **Field**.
 - f) Click **Done**.
11. Click **Save**.

The filter is applied and objects that match the filter criteria are displayed. The name of the filter and number of results are displayed in the header.
12. Click the filter name in the header to remove the filter.

The filter is removed and the list is refreshed.

13. After a private filter is saved, you can rename, edit, and delete it.

Using ad hoc filters

Ad hoc filters are private filters that are used in one session and not saved.

About this task

Ad hoc filters are filters that you define for your own use.

Only one ad hoc filter can be applied at a time.

You can apply an ad hoc filter, a folder filter, and search criteria that you enter in the Search box. An object must match all the criteria to be displayed in the Grid View.

You cannot apply both a public filter and an ad hoc filter.

Procedure

1. Access the Grid View
2. Click  .
3. Click **New Filter** next to **My Filters**.
4. Leave **Name** blank.
5. Complete all the remaining fields and conditions as explained in [“Defining private filters ” on page 66](#).
6. Click **Apply**.

The filter is applied and objects that match the filter criteria are displayed. The name *Unsaved Filter* and number of results are displayed in the header.

7. If you want to change the filter, clear the filter from the Grid View. Make your changes in the ad hoc filter and click **Apply**. Repeat as often as required.

Tip: If you decide that you want to save the filter, type a **Name**, and then click **Save**.

8. Optional: To further refine your search, enter search criteria in the Search box.

For more information, see [“Finding objects with the Search box ” on page 63](#).

9. Optional: To further refine your search, apply a folder filter.

For information, see [“Using folder filters \(Business Entity\)” on page 64](#).

10. Click the filter name in the header to remove the filter.

The filter is removed and the list is refreshed.

11. Close the Grid View.

The ad hoc filter is deleted.

Editing private filters

You can modify search criteria for private filters. These filters are listed under **My Filters** in the filter pane.

Procedure

1. Access the private filter that you want to modify. See [“Using private filters ” on page 65](#).
2. Click  next to the filter that you want to edit.
3. Make your changes.
4. Click **Save**.

Deleting saved filters

You can delete private filters. These filters are listed under My Filters in the filter pane.

Procedure

1. Access the private filter that you want to delete. See [“Using private filters ” on page 65](#).
2. Click  next to the filter.
3. Click **Delete**.

Renaming filters

You can rename a private filter.

Procedure

1. Access the private filter that you want to modify. See [“Using private filters ” on page 65](#).
2. Click  next to the filter.
3. Edit the value in **Name**.
4. Click **Save**.

Clearing filter results

If you have applied a filter to a Grid View, you can clear the filter.

About this task

When you clear a filter, the search results from the filter are cleared. The name of the filter remains in the filter panel. You can apply a new filter.

Procedure

1. In the Grid View, look for the filter name in the header.
2. Click the filter name in the header to remove the filter.
The filter is removed and the list is refreshed.

Chapter 7. Using global search

IBM OpenPages with Watson global search uses advanced text processing techniques and analysis to search across all object types to find records relevant to your search terms.

The following table shows some ways that global search responds to an initial search:

Table 14. Global search results	
If you search for ...	Expect to see records that contain...
"trade"	"trades", "trading", and "traded" that is, the words do not need to be in the exact form.
"step missing" (without quotation marks)	"missing process steps", that is, the words do not need to be in order.
"security breach" (with quotation marks)	"security breach" but not "breach of security", that is, word order matters with phrase search.
"BaNk"	"Bank", "bank", "BANK", and "BANKING", that is, cases are ignored.

For more information, see ["Global search advanced techniques" on page 72.](#)

Global search versus other search methods

You can use several methods to find specific information in IBM OpenPages with Watson.

The following search methods are available in IBM OpenPages with Watson:

- Global search is available if it has been configured by an administrator.
- Global search is available when you use a search panel on the dashboard. Only administrators can add search panels.
- Global search uses advanced text processing techniques and analysis, such as stemming, tokenization, and natural language processing to find and return records that are relevant to your search terms.
- Grid view search

Grid view search limits the information that is displayed in a list of objects. Grid view searches look for an exact match of the words or characters that are typed in. They do not use global search. For more information, see [Chapter 6, "Using filters in Grid Views," on page 63.](#)

Use the appropriate method based on the access point and what you are looking for. If you need to find records that must match an exact stream of text, use Grid view search. If you are attempting to find records relevant to search terms, use global search.

Searching by using global search looks for the specified criteria across all object types - and any attached files, if enabled - in different arrangements and returns the results by word relevance. Search results are ranked in order from most relevant to least. A Search panel can be configured to look at all or specific object types.

Unlike the other search methods, global search does not attempt to find an exact match of letters, words, or pattern of characters such as "-", ":" , "#", "(", ")" , "<", ">" , and so on, that can occur in a text.

Global search disregards the order or placement of search terms, except for searching phrases. For example, searching for "ancial serv" does not find "Financial Services". And searching for "Be" does not find "Benefits". Also, searching for "Be" does not find "Be" because "be" is considered a common word, and so is not indexed. Indexing common words and including them in search results can skew search results and relevancy ranking. This is because common words occur so frequently that they can

overtake other, more relevant words in relevancy ranking. For information about searching for phrases see ["Phrases" on page 72](#).

The following words are other common words to be avoided: a, an, and, are, as, at, be, by for, if, in, into, is, it, no, not, of, on, or, such, that, the, their, then, there, these, they, this, to, was, will, and with.

These are common words in English. Equivalent words in non-English languages should likewise be avoided.

This is because global search does not do a textual match of what is being searched, but instead does lexical analysis with natural language processing. Global search breaks the stream of data into tokens, and then breaks tokens into the root meaning of each word.

For example, if you search for "management", the search finds records that contain all variations of the root word "manage", such as "management", "managements", "manager", and so on.

Global search advanced techniques

In most cases, searching with terms and phrases is sufficient to find the record you are looking for. However, global search supports advanced search syntax that you can use to further control your search.

Using these techniques takes practice and a thorough understanding of the search syntax and the data set.

Further refinement can be done by using and combining advanced search syntax, such as wildcards, Boolean logic, grouping search terms, and more.

Terms

The simplest way to use global search is to search for one or more terms.

A term is a simple word such as "risk" or "security" or "management". Search results are more relevant and specific when you use more terms in your search. The order and capitalization of terms are ignored. For example, searching for "Security RISK management" is the same as searching for "management security risk" (without quotation marks).

Phrases

Phrases are similar to terms, except the words are in quotation marks.

All the words in a phrase must exist and must be in the order that they are entered, with no other words in between. For example, the phrase "risk security management" is not the same as "security risk management" or "risk management" (with quotation marks). Furthermore, a search for "risk management" excludes records with the phrase "risk aversion management" because of the word "aversion" in the middle of the phrase.

You can combine multiple phrases to further refine search results. For example, searching for "security risk" "risk management" (two phrases, each with quotation marks) finds records that have both phrases.

Wildcards

Global search supports single and multiple character wildcard searches within single terms.

To perform a single character wildcard search, use the "?" symbol. To perform a multiple character wildcard search, use the "*" symbol.

The single character wildcard search looks for terms that match with the single character replaced. For example, to search for both "test" and "text", use te?t.

Multiple character wildcard searches look for 0 or more characters. For example, to search for "management" and "managerial" use manag*.

Wildcards can be anywhere in a term but are not supported at the start of a term. That is, "*siness" and "?usiness" are not supported.

Wildcards are not supported within phrase searches.

Boolean

Boolean operators allow terms and phrases to be combined through logic operators to further refine search terms.

Global search supports AND, OR, NOT, "+" and "-" as Boolean operators. Boolean operators must be in uppercase.

The AND operator is the default operator for global search. This is why, the more terms are searched, the fewer search results are returned. For example, searching for "US UK" is the same as searching for ""US OR UK"" (without quotation marks) and returns records that have both "US" and "UK".

Use the OR operator to find records that contain either search terms. For example, searching for "US OR UK" (without quotation marks) returns records that have either only US or only UK or both.

Use the NOT operator to exclude records that contain specific search terms. For example, searching for "risk management US NOT UK" (without quotation marks) finds records that have the terms "risk", "management", and "US", but any records that have "UK" are excluded from the search results.

The "+" operator is identical to the AND operator. Use it to explicitly specify that a term must exist in a search result. For example, searching for "+US UK risk management" (without quotation marks) returns records that must have "US". However, since global search default to AND as the default Boolean operator, using the "+" operator has no effect unless it is used with complex search syntax such as "+US OR UK OR risk OR management" (without quotation marks).

The "-" operator is identical to the NOT operator. Use it to explicitly specify that a term must be excluded from search result. For example, searching for "-US UK risk management" (without quotation marks) returns all records that have "UK", "risk", and "management", but none that contain "US".

Grouping

Global search supports parentheses to group search terms to form subsearches.

You can use grouping to control and better refine search terms, especially with Boolean logic. For example, to search for "risk management" for both "US" and "UK", enter "(US OR UK) AND risk management" (without quotation marks). Or, to search for the phrase risk management and exclude "US" or "UK", use "-(US OR UK) "risk management"".

Fuzzy matches

A fuzzy match uses a tilde (~) to search for a term similar in spelling to other words.

For example, to search for a term similar in spelling to "roam", use "roam~" (without quotation marks). This search finds records that contain words like foam and "roams".

Proximity

Uses a tilde (~) to search for terms in a phrase that are within *N* or fewer words apart.

For example, "risky business"~10 (with quotation marks) finds records that have "risk" and "business" that are 10 words or less apart.

Boosting

Boosting uses a caret sign (^) to give specific terms more relevancy over others. For example, searching for "risk management US^5 UK" (without quotation marks) ranks records with "US" higher over records with "UK".

Searching for objects using global search

You can quickly find and act upon the objects that are relevant to your GRC tasks by using global search.

Before you begin

Learn about the many ways you can search for information using global search. For more information, see “[Global search advanced techniques](#)” on page 72.

Verify that there is a Search panel on your Dashboard. The name can vary, depending on how it was configured by an administrator. There may be multiple Search panels, for all or specific object types. If there is no search panel, inform your administrator. Search panels can be added only by administrators.

Procedure

1. Access the Home page.
2. Open the Dashboard.
3. Find a Search panel.
4. Enter text in the Search panel.

Up to 25 objects that match the search are displayed, ranked from the most to least relevant. Each result displays a link that includes the resource name and object type. If the Search panel is configured to search the content of file attachments, file objects are also listed. Only objects that you have permission to view are displayed.

5. Click an object in the Search panel result list to open it in a new tab.
6. Click  to mark an object as a favorite.

The object is added to the Favorites panel.

Searching file attachments

IBM OpenPages global search can be configured so that you can search not only on objects content, but also on the contents of any file attachments for which you have permission.

About this task

The administrator can configure which file types to include for search, such as .doc, .rtf, .xls, .ppt, .txt, .pdf, and so on.

Procedure

1. Follow the instructions in “[Searching for objects using global search](#)” on page 74 to access global search.
2. Enter a search expression.
The search results for all of the objects for which you have permission to view are displayed.
3. The search results returned for file attachments, if any, include a link that provides immediate access to the file attachment itself.
4. Click **View file** to directly access the content of the file attachment.

Chapter 8. Working with files and links

You can perform many actions on files and links in OpenPages.

About file attachments

File attachments can be added and managed in the IBM OpenPages with Watson file repository.

When files are added to OpenPages, a copy of the file is uploaded to the file repository. The types of files that you can add are configured for your system. For example, you might be able to add PDF files, text files, graphics files, and Microsoft Office files.

OpenPages uses version control and file locking in the file repository. When you work in a collaborative team environment, files are checked in and out to ensure that changes made by one team member will not be overwritten by another team member.

Files can be added to OpenPages from two access points:

- Use the  > **Attachments** > **Files** task to add and manage all files that you have access to, across all object types.

For more information, see [“Adding and managing all files \(attachments\) ” on page 79.](#)

- Use an object type's Task View to add and manage files that are attached to objects.

For more information, see [“Adding and working with files \(attachments\) on objects” on page 76.](#)

Functionality is the same except that with the  > **Attachments** > **Files** task you can access all files across all object types. Icon labels are slightly different in the two tasks.

Rules for naming folders and files

Special characters are allowed in certain instances. Refer to the following table for the special character restrictions.

<i>Table 15. Special character restrictions</i>			
Special character	Description	Allowed in Folder Name?	Allowed in File Name?
&	Ampersand	Yes	No
*	Asterisk	Yes	No
\	Backward slash	No	No
:	Colon	Yes	No
"	Double quotation mark	Yes	No
!	Exclamation point	Yes	No
/	Forward slash	No	No
>	Greater than	Yes	No
<	Less than	Yes	No
%	Percent	Yes	No
	Pipe	Yes	No
#	Pound	Yes	No

Table 15. Special character restrictions (continued)

Special character	Description	Allowed in Folder Name?	Allowed in File Name?
?	Question mark	Yes	No
	Single space	Yes	Yes
	Double space	Yes but avoid	No

For a folder name,

Correct

Claims and Liability Management, Claims & Liability Management

Incorrect

Claims \ Liability Management, Claims/Liability Management

Adding and working with files (attachments) on objects

Depending on how the Task View is configured, you might be able to add and work with files (attachments).

About this task

When you add a file, it is associated with the object in the view that you have open.

When you add a file, a copy of the file is uploaded to the OpenPages file repository. After a file has been added:

- Click the file name to view file details and access multiple versions of the file if they exist.
- Click  to download it.

Click  to check out a file.

A checked-out file has the following characteristics:

- A checkmark is displayed next to the file name. If it is green, you checked it out. If it is blue, it is checked out by another user.
- The file is locked and cannot be overwritten in the file repository.
- The last checked in version and all earlier versions of the file can be viewed and downloaded by other users.

The file can also be associated with other objects.

When you check in a file, you can add a comment. A new version is then uploaded with your latest changes, the file is unlocked, and it is available to other users to view and check out.

In the following example, the file in the second row has a checkmark to indicate that the file is checked out.

The screenshot shows the IBM OpenPages with Watson application window. The title bar says "IBM OpenPages with Watson". The top navigation bar has icons for Home, Files, and Help. The main area is titled "Files (3)". Below it is a search bar with a magnifying glass icon and the word "Search". To the right of the search bar are "New" and "+" buttons. A table lists three files:

<input type="checkbox"/>	Name	Description	Document Type	Active	Keywords	Tags
<input type="checkbox"/>	Global-search-test1.pdf >	Global Search File Attachment Test		Yes		<input type="checkbox"/>
<input type="checkbox"/>	Global-search-test2.docx >	Global Search File Attachment Test		Yes		<input type="checkbox"/>
<input type="checkbox"/>	Global-search-test3.txt >	Global Search File Attachment Test		Yes		<input type="checkbox"/>

Depending on how the system is configured, you might be able to open and edit Microsoft Office files

(Word, Excel, and PowerPoint) directly from OpenPages. If this feature is enabled, the (View) and (Edit) icons display next to Microsoft Office files.

Rather than accessing files from a Task View, you can also access files by clicking > **Attachments** > **Files**. Click the file that you want to view or edit. In a Task or Admin View for the File object type, go to the **Versions** section. For more information, see ["Adding and managing all files \(attachments\)" on page 79](#).

Procedure

1. Open the task that you want to work on.
2. Locate the section that contains file attachments. This section might, for example, be titled **Supporting files and artifacts**.
3. To add files to the object:
 - a) Click **Add/Update** and select the file. Alternatively, you can drag files to the files section.
 - b) Complete the fields in the **Files to add** window.
 - c) Click **Upload**.

The file is added and automatically checked in.

After a file has been added, you can use two methods to upload a new version of the file. With either method, you receive an error message when you upload the file if it is checked out by another user.

4. To update a file by using manual check out:

Use this method to prevent other users from editing the file while you are working on your changes.

Do not use this method when editing Microsoft Office files directly from OpenPages by clicking **View** or , or **Edit** or .

- a) Click to check out the file. The icon is hidden if the file is already checked out.
- b) Download the file.
- c) Make and save your changes to the file.

- d) Click **Add/Update** and select the file. Alternatively, you can drag the file to the files section.
- e) Complete the fields in the **Files to add** window.
- f) Click **Upload**. Your copy is uploaded and the file is checked in.

You can click  to cancel a check out. If you cancel a check out, OpenPages reverts to the last checked in version of a file in the file repository.

5. To update a file without using manual check out:

Use this method if you are making quick changes to the file.

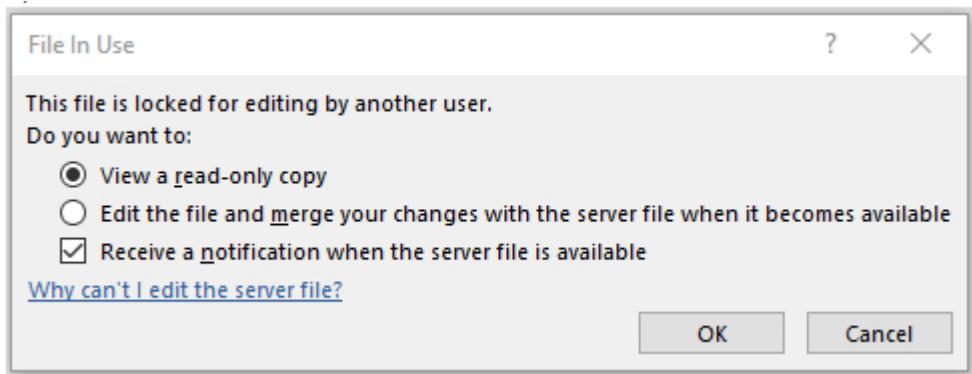
Do not use this method when editing Microsoft Office files directly from OpenPages by clicking **View** or , or **Edit** or .

- a) Download the file.
- b) Make and save your changes to the file.
- c) Click **Add/Update** and select the file. Alternatively, you can drag the file to the files section.
- d) Complete the fields in the **Files to add** window.
- e) Click **Upload**. The file is automatically checked out and back in.

6. To view a Microsoft Office file when the **View** button or icon is displayed.

- a) Click **View** or .
- b) Click **Open [App]**, for example **Open Word**, in the dialog box that opens the Microsoft Office application.
- c) View the file.
- d) It is possible to edit the file even though you chose to view it, if you have the rights to edit the file. Click **Enable Editing** in the Microsoft Office application and start making your changes. The file is automatically checked out. Make and save your changes. Click **Check in** or  to check in the file in OpenPages when you are finished.

If the following message appears when you click **Enable Editing**, the file is locked by another user and it cannot be edited. You must wait until the file is unlocked to make your edits. You can choose only the first option, **View a read-only copy**. The other two options are non-functioning.



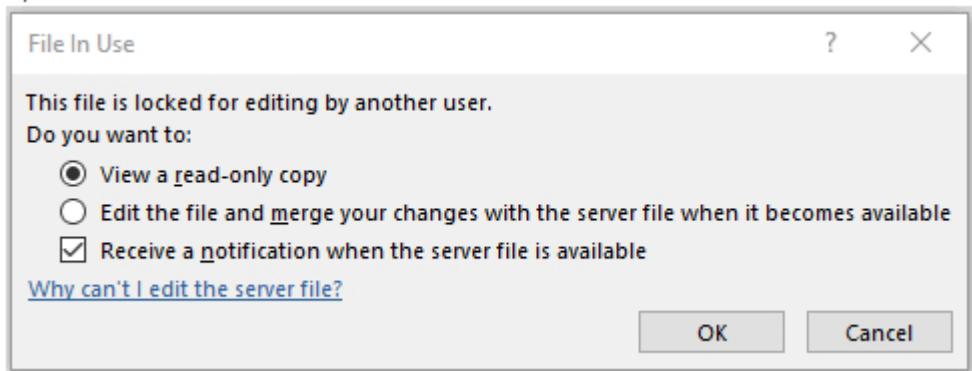
- 7. To view a Microsoft Office file when the **View** button or  icon is not displayed, click **Edit** or  and either cancel the checkout or check in the file after you view it. If you don't see the **Edit** button or  icon, download the file and open it manually.
- 8. To open and edit a Microsoft Office file:

- a) Click **Edit** or .

Two dialog boxes are displayed:

- An OpenPages dialog box that reminds you to check in the file when you are finished.
 - A Microsoft dialog box that opens the Microsoft Office application.
- b) Leave the OpenPages dialog box with the reminder open until you are finished editing the file. Or, you can click the **Cancel checkout** button in the dialog box to close it. Closing the dialog box does not cancel the checkout. You must remember to check in the file when you are finished.
- c) Click **Open [App]**, for example **Open Word**, in the dialog box that opens the Microsoft Office application.
- d) Click **Enable Editing** in the Microsoft Office application if Protected Mode is enabled.

If the following message appears when you click **Enable Editing**, the file is locked by another user and it cannot be edited. You must wait until the file is unlocked to make your edits. You can choose only the first option, **View a read-only copy**. The other two options are nonfunctioning.



- e) Make your changes and save frequently because auto save is not enabled. Every time you manually save, your changes are saved to the file in the OpenPages file repository. However, other users cannot see your changes until the file is checked in.
- f) When you are finished, click **Check in** in the dialog box to check in the file.
If you want to check the file in later, you can click **Check in later**.

Note: If you get a message saying that your file failed to save to the server, save the file locally, and click **Update** to manually upload the file to OpenPages. This can occur if the OpenPages session times out or if there is a connectivity issue.

Adding and managing all files (attachments)

Use **≡ > Attachments > Files** to add and manage all files that you have access to, across all object types. The task displays only non-system files of object type File (SOXDocument). It does not display system files.

About this task

Depending on how the system is configured, you might be able to open and edit Microsoft Office files (Word, Excel, and PowerPoint) directly from OpenPages. If this feature is enabled, the **View** and **Edit** buttons are displayed for Microsoft Office files (Word, Excel, and PowerPoint).

You can also add files directly to objects by using a Task View. For more information, see “[Adding and working with files \(attachments\) on objects](#)” on page 76.

Procedure

1. Click **≡ > Attachments > Files**.
2. To add files:
 - a) Click **New**.

Fields and button labels might be different depending on how your system is configured.

- b) Optional: Add values in **Keywords**.
- c) Optional: Select a **Document Type**.
- d) Click **Add File** and select the file. Alternatively, you can drag a file to page.
- e) Click **Select Folder** and associate the file to a parent business object.
- f) Click **Save**.

The file is added and automatically checked in.

After a file has been added, there are two methods to upload a new version of it. Using either method, you receive an error message when you upload the file if it is checked out by another user.

3. To update a file using manual check out:

Use this method to prevent other users from editing the file while you are working on your changes.

Do not use this method when editing Microsoft Office files directly from OpenPages by clicking **View** and **Edit**.

- a) Select the file.
- b) Click **Check Out**. The icon is hidden if the file is already checked out.
- c) Download the file.
- d) Make and save your changes to the file.
- e) Click **Update** and select the file. Alternatively, you can drag the file to the page.
- f) Complete the fields in the **Files to update** pop-up window.
- g) Click **Upload**. Your copy is uploaded and the file is checked in.

You can click **Cancel checkout** to cancel a check out. If you cancel a check out, OpenPages reverts to the last checked in version of a file in the file repository.

4. To update a file without using manual check out:

Use this method if you are making quick changes to the file.

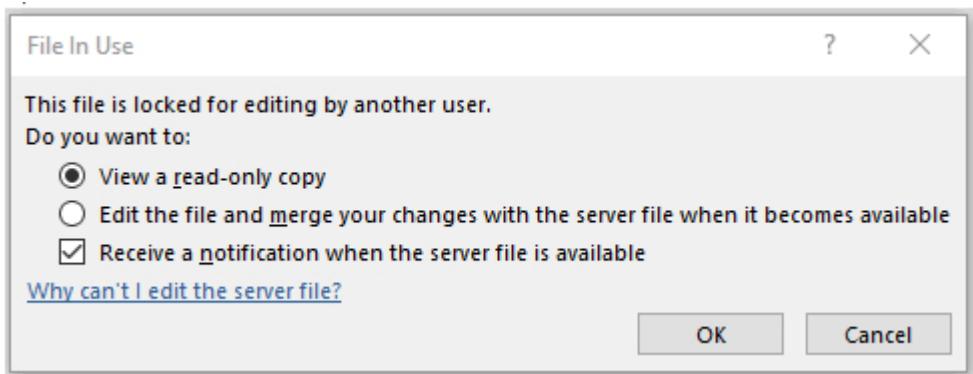
Do not use this method when editing Microsoft Office files directly from OpenPages by clicking **View** and **Edit**.

- a) Select the file.
- b) Download the file.
- c) Make and save your changes to the file.
- d) Click **Update** and select the file. Alternatively, you can drag the file to the page.
- e) Complete the fields in the **Files to update** pop-up window.
- f) Click **Upload**. The file is automatically checked out and back in.

5. To view a Microsoft Office file:

- a) Select the file.
- b) Click **View**.
- c) Click **Open [App]**, for example **Open Word**, in the dialog box that opens the Microsoft Office application.
- d) View the file.
- e) It is possible to edit the file even though you chose to view it, if you have the rights to edit the file. Click **Enable Editing** in the Microsoft Office application and start making your changes. The file is automatically checked out. Make and save your changes. Click **Check in** to check in the file in OpenPages when you are finished.

If the following message appears when you click **Enable Editing**, the file is locked by another user and it cannot be edited. You must wait until the file is unlocked to make your edits. You can choose only the first option, **View a read-only copy**. The other two options are non-functioning.



6. To open and edit a Microsoft Office file:

a) Select the file.

b) Click **Edit**.

Two dialog boxes are displayed:

- An OpenPages dialog box that reminds you to check in the file when you are finished.
- A Microsoft dialog box that opens the Microsoft Office application.

c) Leave the OpenPages dialog box with the reminder open until you are finished editing the file. Or, you can click the Cancel button in the dialog box to close it. Closing the dialog box does not cancel the checkout. But you must remember to check in the file when you are finished.

d) Click **Open [App]**, for example **Open Word**, in the dialog box that opens the Microsoft Office application.

e) Click **Enable Editing** in the Microsoft Office application. The file is automatically checked out.

f) Make your changes and click save frequently. Every time you manually save, your changes are saved to the file in the OpenPages file repository. However, other users cannot see your changes until the file is checked in.

Note: You are not able to auto-save in Microsoft Office applications.

g) Check in the file when you are finished. You can either click **Check in** in the dialog box that was displayed earlier, if it is still open. Or, you can click **Check in** from the file.

Note: If you get a message saying that your file failed to save to the server, save the file locally and then click **Update** to manually upload the file to OpenPages. This can occur if the OpenPages session times out or if there is a connectivity issue.

External URL links

An external link is a URL that opens a browser window and displays the contents of that target destination. Whether you add a stand-alone external link or attach an external link directly to an object, a copy of that external link is stored in the file repository.

You can add an external link to an object.

Creating URL links on objects

An external link is a URL that opens a browser window and displays the contents of that target destination. A copy of the external link is stored in the IBM OpenPages with Watson file repository.

Procedure

1. Click > **Attachments** > **Links** .
2. Click **New**.
3. Enter a **Name**.

4. Enter a **Description**.
5. Enter the URL value in **URL**.
6. Attach the URL to an object.
7. Click **Save**.

Chapter 9. Working with Reports

IBM OpenPages with Watson comes with a variety of pre-defined informational and exception reports, such as graphical summary dashboard reports, specific task reports that are assigned to users, issues monitoring reports, and management reports. Some reports may also link to sub-reports, which contain more detailed information on a particular area. Reports can be generated on demand at any time.

Example of using an Operational Report - You want to find out what the loss event trends were for workplace safety in a particular month. You might select, for example, the *Loss Events Summary Report*. It displays a chart of the financial loss, non-financial loss, and loss event count for the selected month.

To narrow the scope of the data that is returned for workplace safety, you could select the Risk category called Employment Practices and Workplace Safety and a Causal Category of People.

Example of using a Financial Report - You are working on effective and ineffective financial controls and want to see all the effective and ineffective financial controls for a division of the company. You could select, for example, the *Financial Control Operating Effectiveness Report*. To narrow the scope of the control data that is returned to the division you want, select the name of the division on the report prompt page.

Depending on your configuration, you may also select reports either embedded or listed on the home page. Reports are categorized as follows:

- Interactive - reports that prompt you to select or enter values that filter the data in the report. For example, these reports may prompt you to select a Business Entity, reporting period, or start and end dates. The report then limits the scope of the returned data. Reports that prompt for a Business Entity return data for objects under that entity.
- Static - reports that are generated as soon as you click the name of the report.

You can access a list of available reports by adding a **Reports** panel to your dashboard. You can also add a report to your Home Page by creating a **Report Tab**. For more information, see [“Adding a Reports panel” on page 31](#) and [“Adding a Reports tab” on page 34](#).

About reports

This topic provides links to information about reports.

- [Chapter 9, “Working with Reports,” on page 83](#)
- [“Emailing a report” on page 84](#)
- [“Generating and viewing reports” on page 83](#)
- [“Viewing reports in a different format” on page 84](#)

Generating and viewing reports

You can open a report from the **Analytics** menu item or from a panel or tab on your Home Page.

About this task

You can access a list of available reports by adding a **Reports** panel to your dashboard. You can also add a report to your Home Page by creating a **Report Tab**. For more information, see [“Adding a Reports panel” on page 31](#) and [“Adding a Reports tab” on page 34](#).

Depending on your configuration, **Analytics** might display as the first menu item in the Primary menu. Click  > **Analytics** to open IBM Cognos Analytics where you can work with reports.

Procedure

1. Click the name of the report.

2. For interactive reports, complete all required fields and selections.
3. Click **Finish** to generate the report.

Emailing a report

If your system is configured, you can generate a report and send it by email.

Procedure

1. On the generated report, click the **Keep this version** link.
2. Click **Email Report**.
3. In the **Set the email options** window, type an email address in the To box.
4. To send the report to multiple addresses, separate each address with a semicolon (:).
5. Type a subject line and a message.
6. Select whether the report is sent as an attachment or as a link.
7. Click **OK**.

Viewing reports in a different format

If your system is configured to display reports in different formats, you can generate a report and then view or save it in another format. The standard format is HTML.

Procedure

1. On the icon bar of the generated report, click **Action**.
2. From the list, select a format.
3. Follow the screen prompts.

Chapter 10. Questionnaires

Use questionnaires to assess risk and compliance or to collect information for specific processes and asset risks. IBM OpenPages with Watson streamlines, standardizes, and centralizes the collection of questionnaire-based assessment information.

Questionnaire overview

Learn about the questionnaire feature and then configure it for your organization.

Questionnaire assessments are based on the following objects:

- Assets
- Questionnaire templates
- Programs
- Questionnaire assessments

Assets are the existing objects that the questionnaire assessments assess and measure. They can be resources, processes, subprocesses, employees, vendors, or engagements. You use questionnaire templates to design and write the questions. You use programs to define, launch, and distribute questionnaire assessments to respondents. You can also create ad hoc questionnaire assessments, which are single questionnaire assessments that are independent of programs.

Questionnaire assessments move through a review process. The review process is managed behind the scenes by GRC Workflow. To ensure that the review process is managed correctly, you must specify a value for the lifecycle and due date fields for programs and questionnaire assessments. The value of the lifecycle field can be **2 Stage Lifecycle (no review)**, **3 Stage Lifecycle (with review)**, or **4 Stage Lifecycle (with review and approval)**.

For more information about GRC Workflow, see the *IBM OpenPages with Watson Administrator's Guide*.

To set up and use questionnaire assessments:

1. Plan the questionnaire assessments and program you want to create. Decide what resources you want to measure, the workflow you want it to follow, and the program you want to use to start it.
2. Work with your administrator to determine what workflow is used to drive the review process. Review the workflow and ensure that you understand the stages in the review process.
3. Plan the questionnaire template's content (sections, subsections, and questions) and scoring.

When you are planning the content, keep in mind that IBM recommends the following maximum limits on items in a questionnaire template:

- 1000 questions per questionnaire template
- 199 subsections and questions per section
- 50 questions, including dependent questions, per subsection

4. Create a questionnaire template object.
5. Edit the questionnaire template to add content to it.
6. If they do not exist, create the assets (resources, processes, subprocesses, employees, vendors, or engagements) that the questionnaire assessment is measuring. Identify the asset owners.
7. Create a program. Assign the questionnaire template, a lifecycle, and assets to it. Launch it. The system creates the questionnaire assessments and sends an email with a link to the respondents. The workflow on questionnaire assessments begins and the first stage is set to the information gathering stage.
8. Create ad hoc questionnaires. For more information, see [“Creating an ad hoc questionnaire assessment” on page 103](#).

9. Respondents receive and answer questionnaire assessments. As they work, the system calculates their progress and compliance and risk scores. Reviewers can see this information and monitor their progress.
10. Respondents finish the answers and submit their questionnaire assessments. The questionnaire assessments move through the workflow until they are closed.
11. Run questionnaire reports to review scores, progress, and answers. Two questionnaire reports are available:
 - Program Report
 - Single Assessment Report

Questionnaire templates, resources, and programs must be in the current reporting period. The system issues a message if a respondent opens a questionnaire assessment that is assigned to a resource in a reporting period other than the current reporting period. It also issues a message if you launch a questionnaire template or program that is in a reporting period other than the current reporting period.

Questionnaire template scores and scoring methods

The system calculates compliance score and risk score when a respondent completes a questionnaire assessment. How these scores are calculated depends on the scoring method, simple or weighted risk average, that you assign to a questionnaire template.

Use the simple method if the focus of the questionnaire template is at the question level. The question weight defines the importance of each question. To hide all weights and answer scores, disable **Weight and score** in the **Format settings** of the questionnaire template.

Use the weighted average method if the focus of the questionnaire template is at the subsection level. Use this method if some subsections have a higher significance than other subsections. The difference between the two methods is that the simple method does not calculate a weighted average at the subsection level, which affects the overall results in the compliance and risk scores.

To plan the scoring for a questionnaire template, perform the following steps:

- Decide whether to use the simple or weighted average method.
- Decide what weight to assign to each section and subsection and be consistent.
- Decide what answer scores you want to apply to single and multiple choice questions. Use a higher answer score for better answers, for example, use 10 for the best answer. Keep the range as small as possible, for example, 1 - 10. Use a larger range only if a question has many answers, for example, more than 10.

The score for the answers to a multiple choice question is calculated using the following formula where *answerSum* is the sum of the scores for the answers chosen by the respondent and *maxScore* is the sum of all possible answers:

```
score = (answerSum * 10 * weight) / maxScore
```

In the following example, you have a multiple choice question with a weight of 1 and A, B, C, and D as the possible answers.

Table 16.

Answer	Score
A	10
B	2
C	1
D	0

In this scenario, `maxScore` = 13. If the respondent chooses answers B and C, then `answerSum` = 3. Using the formula, `score` = 2.31.

- Consider how dependent questions are scored. A respondent's answer to a controlling question can cause a dependent question to be hidden. Only questions visible to the respondent are included in the scoring. Questions that are hidden from the respondent are excluded.
- Consider that long text, short text, and table questions are excluded from scoring.

For more information about the formulas that are used in scoring, see [“Questionnaire template scoring formulas”](#) on page 87.

Questionnaire template scoring formulas

When a respondent answers a questionnaire assessment, the system calculates and updates the compliance score and risk score every time it is saved. The system also calculates total score and max score but they are not displayed to the respondent. To calculate the scores, the system uses formulas that consider the questionnaire scoring method and values you provide on the questionnaire template.

You provide the following values on a questionnaire template:

Table 17. Questionnaire template weights and scores		
Code	Name	Value
QW	Question weight	0 - 9999 , 0 excludes question
AS	Answer score	-1 to 9999 , -1 excludes answer
SW	Section weight	0 - 9999 , 0 excludes section
SSW	Subsection weight	0 - 9999 , 0 excludes subsection

The system uses the following formulas:

Table 18. Score formulas		
Code	Name	Formula
QS	Question score	0 - 10, formula depends on whether a question is single or multiple choice. ¹
WQS	Weighted question score	QS * QW
SSS	Subsection score for total score	Formula depends on the questionnaire scoring method. ²
MSSS	Subsection score for max score	Formula depends on the questionnaire scoring method. ³
SS	Section score	SS = SW * SUM (SSS)
TS	Total score	TS = Sum SS
MS	Max score	MS = Sum MSSS
CS	Compliance score	CS = [TS / MS] *100
RS	Risk score	RS = MS – TS

How the system calculates question scores¹

Questionnaire scores are calculated for single choice questions by using the following formula:

$$QS = [AS / MAX(AS)] * 10$$

Questionnaire scores are calculated for multiple choice questions by using the following formula:

$$QS = [\text{SUM(Selected AS)} / \text{SUM(All AS)}] * 10$$

For short text, long text, and table questions, no question score is calculated.

How the system calculates subsection scores for the total score²

When the scoring method is simple, subsection scores are calculated for the total score by using the following formula:

$$SSS = SSW * \text{SUM(WQS)}$$

When the scoring method is weighted average, subsection scores are calculated for the total score by using the following formula:

$$SSS = SSW * [\text{SUM(WQS)} / \text{SUM(QW)} * 10]$$

How the system calculates subsection scores for the maximum score³

The maximum question score of 10 is used in calculating subsection scores for the maximum score.

When the scoring method is simple, subsection scores are calculated for the maximum score by using the following formula:

$$MSSS = SSW * [\text{SUM(QW} * 10)]$$

When the scoring method is weighted average, subsection scores are calculated for the maximum score by using the following formula:

$$MSSS = SSW * 10$$

Questionnaire templates

Questionnaire templates are used in programs to launch questionnaire assessments. They contain questions that are organized in sections and subsections. Respondents answer the questions in questionnaire assessments.

Before you use questionnaire templates, see [“Questionnaire overview” on page 85](#).

Creating a questionnaire template object

Questionnaire templates contain the questions that respondents answer when they complete a questionnaire assessment.

To create a new questionnaire, you can either start from a blank questionnaire or you can start with a copy of an existing questionnaire.

Procedure

1. Open the **Primary menu** and select **Assessments > Questionnaire templates**.
2. Click **New**.
3. Complete the following information on the form to create the new questionnaire object:
 - a) In the **Name** box, enter the name of the questionnaire template.
 - b) In the **Description** box, enter the description of the questionnaire template.
 - c) In the **Questionnaire Scoring Method** drop down box, you can either leave the default value, **Simple**, or select the method **Weight Average**.
 - d) Click **Select Folder**, select a folder in the dialog box, and click **Done**.

4. When you have finished completing the form, click **Save**.
The **Questionnaire Template** page opens on the **Task** tab.
5. Click the **Editor** tab.
6. To copy the questions and settings from an existing questionnaire template, click the **From template** tile.
In the **Select questionnaire to copy** dialog box, select a questionnaire to copy from and click **Done**.
Skip steps 7 to 9.
7. To start from a blank questionnaire, click the **Blank** tile.
8. Complete the information in the **Format settings** dialog box.
 - a) In the **Name first section** box, enter the name of the first section in the questionnaire template.
 - b) In the **Name first subsection** box, enter the name of the first subsection in the questionnaire template.
 - c) Set **Titles** to **On** if you want to add more context for your questions. When **Titles** is set to **On**, titles are required for every question.
 - d) Set **Auto numbering** to **On** if you want to have the questions numbered in sequence.
 - e) Leave the default value of **On** for **Weight and score** if you want to be able to add weight and score to questions, subsections, and sections.
9. Click **Create**.

The **Questionnaire Template** page opens on the **Editor** tab. It shows the first section and subsection that you added in the last step. In the navigation panel, both **Total sections** and **Total questions** show that there is one section and one question.

What to do next

You can now edit the new template. For more information, see “[Editing a questionnaire template](#)” on page [89](#).

Editing a questionnaire template

After you create a questionnaire template, you can edit it to add sections, subsections, and questions.

For more information about creating a questionnaire, see “[Creating a questionnaire template object](#)” on page [88](#).

Anyone who can access a questionnaire template can also edit it.

Note: You can change a questionnaire template until it is launched with a program and sent to respondents. After that point, the system locks it and only users with appropriate credentials can unlock it, edit the questionnaire template, and lock it again. The changes take effect immediately.

Before you begin

Plan the questionnaire template content and decide what method to use for scoring. For more information, see “[Questionnaire template scores and scoring methods](#)” on page [86](#).

About this task

To begin editing a questionnaire template, you must be on the **Editor** tab of the **Questionnaire Template** page. If you are not on the **Questionnaire Template** page already, perform the following steps:

1. Open the **Primary menu** and select **Assessments > Questionnaire templates**.
2. Click the name of the questionnaire template you want to edit.
3. Click the **Editor** tab.

Procedure

1. Optional: Click **Introduction** in the left panel.

Edit the introduction that the respondents see when they receive the questionnaire.

- You can edit the **Title** and **Description** of the questionnaire template that you entered when you created the questionnaire template object.

The maximum number of characters allowed for the **Title** field is 4000.

The maximum number of characters allowed for the **Description** field is 2048.

- If you want to use a logo for all questionnaire templates, copy the .png file to <OP_HOME>/wlp-user/shared/apps/op-apps.ear/taskui.war/images/questionnaire and enter the name of the .png file in the **Custom logo** box.

The image for the logo should be no bigger than 350 x 200 pixels.

If you want to edit the **Disclaimer**, modify the application text

questionnaire.intro.label.informationDetails. The maximum number of characters allowed for the **Disclaimer** field is 4000. For more information about modifying application text, see *Modifying application text* topic in the *IBM OpenPages with Watson Administrator's Guide*.

2. Create the sections and subsections. For more information, see “[Adding sections and subsections to a questionnaire template](#)” on page 90.
3. Write the questions. For more information, see “[Adding questions to a questionnaire template](#)” on page 91.
4. Review the questionnaire template and edit it as necessary.

If you want to change the **Titles**, **Auto numbering**, and **Weight and score** settings that you specified when you created the template, click **Format settings** in the left panel.

What to do next

The next step is to launch the questionnaire template with a program. For more information, see “[Launching a program](#)” on page 105.

Adding sections and subsections to a questionnaire template

Sections and subsections provide structure for a questionnaire template.

Before you begin

Create the questionnaire template and plan how the sections and subsections are organized and weighted for scoring. For more information, see “[Creating a questionnaire template object](#)” on page 88.

About this task

Use this task to add, edit, and delete sections and subsections on a questionnaire template.

To begin editing a questionnaire template, you must be on the **Editor** tab of the **Questionnaire Template** page. If you are not on the **Questionnaire Template** page already, perform the following steps:

1. Open the **Primary menu** and select **Assessments > Questionnaire templates**.
2. Click the name of the questionnaire template you want to edit.
3. Click the **Editor** tab.

Procedure

1. To add a section, click **New section** in the left panel.

The **New section** dialog box is displayed.

2. Enter a **Title**. This value is displayed in the questionnaire assessment.
3. Enter the name of the first subsection in the **Name first subsection** field.

4. Enter a **Description**. This value is displayed in the questionnaire assessment.
5. If **Weight and score** is enabled in **Format settings**, you can enter a value **0 - 9999** in **Weight**.
Enter **0** to exclude all the questions in the section from scoring. The weight is not displayed in the questionnaire assessment.
6. Enter a **Reference**. This value is not displayed in the questionnaire assessment.
7. Enter a **Rationale**. This value is not displayed in the questionnaire assessment.
8. Click **Create**. The system creates the section, subsection, and a default question. The section is added to the end of the template. You can now add more subsections to it.
9. To add a subsection, expand the section to which you want to add a subsection and click the **+** that appears following the last subsection in the section.
10. Complete all the fields for the subsection. They are the same as for a section except for the requirement for a subsection name because subsections can contain questions only.
11. Click **Create**. The system adds the subsection and a default question to the end of the section.
12. Add more sections and subsections as required.
13. The status bar in the left panel shows how many sections and questions are in the questionnaire template.
14. To change the order of sections or subsections, click **Move and reorder items** in the navigation panel, drag the item that you want to move to its new location and click **Save**.
You can shift a subsection up or down in the section or you can move it to another section.
15. To edit a section or subsection, click the pencil icon to the right of the section or subsection name in the right panel, enter the changes, and click **Done**.
16. To delete a section or subsection, click the trash can icon to the right of the section or subsection name in the right panel changes, and confirm the deletion when prompted.
When you delete a section, the subsections and questions in it are deleted too. When you delete a subsection, the questions in it are deleted.
17. To stop working on the questionnaire template, close the template tab.
Your template is automatically saved.

What to do next

The next step is to add questions to the subsections. For more information, see “[Adding questions to a questionnaire template](#)” on page 91.

Adding questions to a questionnaire template

Questions specify the information that you want respondents to provide.

Before you begin

Add sections and subsections to the questionnaire template. For more information, see “[Adding sections and subsections to a questionnaire template](#)” on page 90.

About this task

Use this task to add, edit, and delete questions on a questionnaire template.

To begin editing a questionnaire template, you must be on the **Editor** tab of the **Questionnaire Template** page. If you are not on the **Questionnaire Template** page already, perform the following steps:

1. Open the **Primary menu** and select **Assessments > Questionnaire templates**.
2. Click the name of the questionnaire template you want to edit.
3. Click the **Editor** tab.

Procedure

1. In the navigation panel, click the section and then the subsection to which you want to add a question.

You can add questions to a subsection only, not a section.

2. In the right panel, scroll to the end of the subsection and click **New question**.

The **Configure question** dialog box is displayed.

3. Select the **Type** of answer.

- **Single Choice**

The respondent can choose only one answer from a list that you provide. You can make other questions dependent on the chosen answer.

- **Multiple Choice**

The respondent can choose one or more answers from a list that you provide. You can make other questions dependent on the chosen answers.

- **Short Text**

The respondent can enter up to 252 characters of text. Short text questions have no answer score and are excluded from scoring.

- **Long Text**

The respondent can enter up to 2048 characters of text. Long text questions have no answer score and are excluded from scoring.

- **Table**

The respondent can add up to 30 rows to the table and write up to 50 characters per cell. Table answer questions have no answer score and are excluded from scoring.

4. Select **Required** if the respondent must answer the question.
5. If **Weight and score** is enabled in **Format settings**, you can enter a value **0 - 9999** in **Weight**. Enter **0** to exclude a question from scoring. It is not displayed in the questionnaire assessment.
6. If **Titles** is enabled in **Format settings**, you can enter a **Title**. This value is displayed in the questionnaire assessment.
7. Enter the **Question** asked of the respondent. This value is displayed in the questionnaire assessment.
8. If you chose **Single Choice** or **Multiple Choice** as the **Type** of answer, enter the answers that respondents can choose from in the **Answers** list. Click **New answer** to add more answers.
If **Weight and score** is enabled in **Format settings**, you can enter a score for each answer. Enter a **Score** between **-1** and **9999**. Enter **-1** for answers you want to exclude from scoring.
For example, the answer, Not-applicable, can be scored **-1**. Use a higher answer score for better answers, for example, use **10** for the best answer. Use a consistent range and keep it as small as possible, for example, **1 - 10**. Use a larger range only if a question has many answers, for example, more than **10**. When the score is calculated, question scores are normalized **1 - 10**.
9. If you chose **Table** in **Type**, enter the column header text in **Column**. Click **New column** to add more columns. A table answer can have up to 15 columns. If the question is required, the respondent must enter one row of information. Table answer questions can be dependent questions but they cannot be controlling questions. For reporting purposes, table answers are persisted in CSV format with the pipe bar as a delimiter.
10. Optional: A dependent question is hidden or displayed in an assessment depending on the respondent's answer to a previous question, called the controlling question. To make the question dependent, perform the following steps:
 - a. Expand the **Logic (optional)** section.
 - b. Select the controlling question in **Show this question if**. You can choose from single or multiple choice questions in the same subsection.

- c. Select the answers in **is answered**. You can choose one or multiple answers. If you choose multiple answers, the dependent question is displayed when one or more of the answers you chose are selected by the respondent.

After you finish creating or editing a dependent question, the dependent question icon  is displayed to the left of the question. When your mouse rolls over the dependent question icon, a message is displayed that identifies the controlling question.

11. Optional: Expand the **Additional context (optional)** section and perform the following steps:

- Enter a **Rationale** for the question. This value is not displayed in the questionnaire assessment.
- Enter a URL for related reference material in the **Reference**. This value is not displayed in the questionnaire assessment.
- Select **Show comments** to enable comments. All question types can have comments. If enabled, the respondent can provide multiple comments. **Show comments** is selected by default.

If the respondent must provide at least one comment, select **Comment required**. If a comment is required, the answer is marked as incomplete until the respondent adds a comment.

- Select **Show attachments** to enable attachments. All question types can have attachments. If enabled, the respondent can provide multiple attachments. **Show attachments** is selected by default.

If the respondent must provide at least one attachment, select **Attachment required**. If an attachment is required, the answer is marked as incomplete and not scored until the respondent adds an attachment.

12. Optional: Expand the **Associations (optional)** section and perform the following steps:

- Click **Controls** and click **Add** to associate a control with the question. Select a control and click **Done**.
- Click **Obligations** and click **Add** to associate an obligation with the question. Select an obligation and click **Done**.
- Click **Requirements** and click **Add** to associate a requirement with the question. Select a requirement and click **Done**.

13. Click outside of the question to save your changes.

What to do next

Continue making changes until the questionnaire template is finished.

- To edit a question, click the question and enter the changes.
- To duplicate a question, click the menu icon in the question you want to duplicate and click **Duplicate**.
- To delete a question, click the menu icon in the question and click **Delete**.

If you delete a controlling question, the logic in any dependent questions is removed.

- To remove a dependency between a controlling question and a dependent question, click the dependent question, expand the **Logic (optional)** section, and click **Clear logic**.
- To move questions, subsections, and sections, click **Move and reorder items** in the navigation panel, drag the item that you want to move to its new location, and click **Save**. Controlling questions and the questions that depend on them must exist in the same subsection. When you try to move a dependent or a controlling question to another section or subsection, a yellow exclamation mark icon appears with each item name in the dependent relationship. The exclamation mark icon indicates that the dependency will be removed if you click **Save**.

Review the questions:

- Verify the completeness of the questions and check for errors.
- Verify the answers and check for errors.
- Verify that comments and attachments are correctly marked as mandatory.

- Check for duplicate questions.
- If **Weight and score** is enabled in **Format settings**, check that question weights and answer scoring are correct and consistent.
- Review dependent questions and verify that dependencies are working. To remove dependencies between questions, click the dependent question, expand the **Logic (optional)** section, and click **Clear logic**.

Adding object variables to a questionnaire template

Object variables in a questionnaire template are rendered on questionnaire assessments as values from objects associated with the questionnaire assessment that respondent is answering. You can use object variables in a questionnaire template in version 8.3.0.1 and later versions.

You can also add links to questionnaire templates. For information, see [“Adding links to a questionnaire template” on page 96](#).

You can add object variables in the following locations:

- Section descriptions
- Subsection descriptions
- For a question, the **Question** text and **Rationale** text in the **Additional context (optional)** section

The variables can insert the following information:

- The identifier, name, or description of the underlying asset on which the questionnaire assessment is based.
- The identifier, name, or description of the program from which the questionnaire assessment was launched.
- The identifier, name, or description of the questionnaire assessment that the respondent is answering.
- The identifier, name, or description of the questionnaire template from which the questionnaire assessment was created.

For example, the following text in a section description inserts the identifier of the questionnaire assessment, the name of the underlying asset it is related to, and the name of the program that generated it.

```
This questionnaire assessment, ${questionnaireassessment.id}, is related  
to the following asset: ${asset.name}.  
It is part of the ${program.name} program.
```

It is rendered in a questionnaire assessment as:

This questionnaire assessment, 2018-Assessment-7362810, is related to the asset: ResourceA. It is part of the 2018 Annual Risk Assessment Questionnaire program.

Where **2018-Assessment-7362810** is the identifier of the questionnaire assessment, **ResourceA** is the name of the underlying asset, and **2018 Annual Risk Assessment Questionnaire** is the name of the program.

You can create a test program and launch a questionnaire assessment to ensure that the variables are inserted correctly.

Using the content assist feature to choose object variables

You can use the content assist feature to choose from a list of object variables. In the text box, type **/?** to show all available variables or type **\${}** followed by the name of the variable to filter the options.

Edit section

X

Edit the form below to make changes to this section

* Title *

section 1

* Description

/?

- `${asset.id} - ${asset.id}`
- `${asset.name} - ${asset.name}`
- `${asset.description} - ${asset.description}`
- `${asset.link} - ${asset.link}`
- `${program.id} - ${program.id}`
- `${program.name} - ${program.name}`
- `${program.description} - ${program.description}`
- `${program.link} - ${program.link}`
- `${questionnaireassessment.id} - ${questionnaireassessment.id}`
- `${questionnaireassessment.name} - ${questionnaireassessment.name}`
- `${questionnaireassessment.description} - ${questionnaireassessment.description}`
- `${questionnaireassessment.link} - ${questionnaireassessment.link}`
- `${questionnairetemplate.id} - ${questionnairetemplate.id}`
- `${questionnairetemplate.name} - ${questionnairetemplate.name}`

Weight

1

Reference

Ratio

Done

List of object variables

See the following table for a list of variables. Variables are not case-sensitive.

Table 19. Allowed object variables in questionnaire templates

Object variable	Description
<code> \${asset.id}</code>	Inserts the identifier of the underlying asset
<code> \${asset.name}</code>	Inserts the asset name of the underlying asset
<code> \${asset.description}</code>	Inserts the asset description of the underlying asset

Table 19. Allowed object variables in questionnaire templates (continued)

Object variable	Description
<code> \${program.id}</code>	Inserts the program identifier
<code> \${program.name}</code>	Inserts the program name
<code> \${program.description}</code>	Inserts the program description
<code> \${questionnaireassessment.id}</code>	Inserts the questionnaire assessment identifier
<code> \${questionnaireassessment.name}</code>	Inserts the questionnaire assessment name
<code> \${questionnaireassessment.description}</code>	Inserts the questionnaire assessment description
<code> \${questionnairetemplate.id}</code>	Inserts the questionnaire template identifier
<code> \${questionnairetemplate.name}</code>	Inserts the questionnaire template name
<code> \${questionnairetemplate.description}</code>	Inserts the questionnaire template description

Adding links to a questionnaire template

Links in a questionnaire template are rendered on questionnaire assessments as hyperlinks that a respondent can click to access a URL, an OpenPages object, for example, the underlying asset that a questionnaire assessment is based on, or an IBM Cognos Analytics report. You can use links in a questionnaire template in version 8.3.0.1 and later versions.

You can add links in the following locations:

- Section descriptions
- Subsection descriptions
- For a question, the **Question** text and **Rationale** text in the **Additional context (optional)** section

You can have the following types of links:

- A fixed link to a URL
- A dynamic link to the Task View of an object
- A link to a Cognos report

For example, the following text in a section description includes a dynamic link to the Task View of an object and a fixed link to a URL:

```
This questionnaire is related to the asset: ${asset.link}.
For more information about resources,
see [Resources]({https://www.ibm.com/docs/en/opw/8.3.0?topic=links-resources}).
```

It is rendered in a questionnaire assessment as:

This questionnaire is related to the asset: ResourceA. For more information about resources, see Resources.

ResourceA is a link to the Task View of the underlying asset and **Resources** is a link to the IBM Documentation help topic about Resources.

You can create a test program and launch a questionnaire assessment to ensure that the links are inserted correctly.

You can also add object variables to questionnaire templates. For information, see [“Adding object variables to a questionnaire template” on page 94](#).

Fixed links in questionnaire templates

Fixed links render as hyperlinks in both questionnaire templates and assessments. When a respondent clicks the hyperlink, the URL opens in a new tab or window.

Syntax

```
[link_text] (url)
```

Example

```
[Controls] (https://www.ibm.com/docs/en/opw/8.3.0?topic=objects-controls)
```

Renders as a hyperlink with the link text **Controls** and opens IBM Documentation to the help topic about Controls.

Rules

The protocol can be http, https, or ftp. Do not use only www.

Dynamic links in questionnaire templates

A dynamic link renders in a questionnaire assessment as a link to an object associated with the questionnaire assessment that a respondent is answering.

A dynamic link contains a variable that inserts a link to the following objects:

- The underlying asset on which the questionnaire assessment is based.
- The program from which the questionnaire assessment was launched.
- The questionnaire template from which the questionnaire assessment was created.
- The questionnaire assessment that the respondent is answering.

Syntax

```
 ${variable}
```

Example

```
This questionnaire is based on the asset: ${asset.link}
```

Renders as the following text, where **ResourceA** is a link to the Task View of the underlying asset.

This questionnaire is based on the asset: ResourceA

Rules

See [Table 20 on page 97](#) for a list of variables.

Variables are not case-sensitive.

Table 20. Allowed link variables in questionnaire templates

Link variable	Description
\${asset.link}	Inserts a link to the underlying asset. The asset name is displayed as the link text.
\${program.link}	Inserts a link to the program. The program name is displayed as the link text.
\${questionnaireassessment.link}	Inserts a link to the questionnaire assessment. The questionnaire assessment name is displayed as the link text.
\${questionnairetemplate.link}	Inserts a link to the questionnaire template. The questionnaire template name is displayed as the link text.

Links to IBM Cognos Analytics reports in questionnaire templates

A link to a Cognos report renders as a hyperlink in a questionnaire assessment. When a respondent clicks the hyperlink, the Cognos report opens in a new tab or window. Parameters can optionally be passed from the questionnaire assessment to the report.

Syntax

```
[link_text](report://folderName=folder name&reportName=
report name&parameter1=
${variable}&parameter2=value)
```

Example 1: no parameters

```
[KRI Dashboard](report://folderName=OpenPages Solutions V6/
Indicator Reports/KRI Dashboard&reportName=KRI Dashboard)
```

Renders as a hyperlink with the link text **KRI Dashboard** and opens the KRI Dashboard report.

Example 2: fixed-value and variable parameters

```
[Program Report w/params](report://folderName=OpenPages Platform V6/Questionnaire
Reports&reportName=
Program Report&P_ReportType=Risk&P_Program Type=254&P_Program=${Program.id}&P_Assessment=
${QuestionnaireAssessment.id})
```

Renders as a hyperlink with the link text **Program Report w/params**, passes fixed-value parameters (report type and program type) to the report, passes variable parameters (the questionnaire assessment ID and the program ID) to the report, and opens the report. The value of P_Program Type differs between OpenPages deployments.

Rules

Both *folderName* and *reportName* are required.

Note: If you do not know the *folderName* and *reportName*, you can look up the values by using the **Manage Pages and Templates** task in the Task Focused UI.

Do not provide the package name, OPENPAGES_REPORTS_V6, and leave *folderName* blank.

If you pass parameters from the questionnaire assessment to the report, the parameter names are determined by the Cognos report. The parameters can contain fixed-value parameters, for example, the report type or program type. The parameters can also be variables that pass the following information:

- The identifier, name, or description of the underlying asset on which the questionnaire assessment is based.
- The identifier, name, or description of the program from which the questionnaire assessment was launched.
- The identifier, name, or description of the questionnaire assessment that the respondent is answering.
- The identifier, name, or description of the questionnaire template from which the questionnaire assessment was created.

See [Table 19 on page 95](#) for a list of variables.

Separate multiple parameters with an ampersand (&).

Questionnaire assessments

Questionnaires assessments are a means of gathering information from business users in the organization. Respondents complete the questions and submit the finished questionnaire assessment.

Before you use questionnaire assessments, see “[Questionnaire overview](#)” on page 85.

Questionnaire assessments are created when a program is launched. For more information, see “[Launching a program](#)” on page 105.

Completing a questionnaire assessment

As a respondent, you can complete a questionnaire assessment that the enterprise risk team sent you.

You can choose to copy answers, comments, and attachments from an existing questionnaire assessment to save time. For example, you might want to copy answers if you receive an annual questionnaire and some of your answers from last year are still the same. OpenPages uses an internal ID to match the questions from last year's assessment with questions in the questionnaire you are completing. By matching the IDs, OpenPages ensures that answers, comments, and attachments are copied to the same or similar questions.

You can copy answers into a questionnaire assessment as many times as you want. Each time that you copy answers, you can choose to copy from the same questionnaire assessment or a different one.

About this task

Questions can be in the following formats:

- **Single Choice**

You can choose only one answer from a list that you provide. You can make other questions dependent on the chosen answer.

- **Multiple Choice**

You can choose one or more answers from a list that you provide. You can make other questions dependent on the chosen answers.

- **Short Text**

You can enter up to 252 characters of text. Short text questions have no answer score and are excluded from scoring.

- **Long Text**

You can enter up to 2048 characters of text. Long text questions have no answer score and are excluded from scoring.

- **Table**

You can add up to 30 rows to the table and write up to 50 characters per cell. Table answer questions have no answer score and are excluded from scoring.

If a question is dependent, it is displayed or hidden based on your answer to a previous controlling question. For example, if you answer a controlling question with the answer **Yes**, the questionnaire displays three more dependent questions about that topic. But if you answer **No**, the system hides the dependent questions.

Your progress percentage, **Compliance Score**, and **Risk Score** are displayed on the Questionnaire Assessment Grid View. These values are continually updated as you work on the questionnaire assessment. The compliance score is the normalized score result of all the questions that you answered so far. A compliance score of **0** means noncompliance and **100** means full compliance. The risk score is the score result. The risk score is not normalized. Risk score is defined by the user and can be, for example, **0 - 100**, where **0** means no risk and **100** means high risk, or **0 - 500**, where **0** means no risk and **500** means high risk. The reviewer can also see this information.

Anyone who can access a questionnaire assessment can also work on it. More than one respondent can work on one questionnaire assessment.

Procedure

1. You can open a questionnaire assessment in one of the following ways:
 - Open the email and click the URL. The system opens the questionnaire assessment in a new window. Click **Open questionnaire**.
 - If email is not configured, click **Assessments > Questionnaire assessments**. The system displays a list of questionnaire assessments. Click the questionnaire assessment that you want to complete and click the **Questionnaire** tab.
2. Optional: If you want to copy answers from another questionnaire assessment, click **Copy answers** in the left pane.
 - a) Optional: If you want to copy attachments or comments, click **Select copy options**. Select the options that you want.
 - b) Optional: If you want to overwrite the existing answers with the copied answers, select **Replace existing answers**.
 - c) Select a questionnaire assessment to copy answers from.
 - d) Click **Done**.

Each time that you copy answers from another questionnaire assessment, a comment is added to each question with a copied answer. The comment shows when an answer was copied and the name of the questionnaire assessment that it was copied from.
3. Begin answering questions:
 - You can start in any section or subsection.
 - Work sequentially through questions in a subsection. Questions can be shown or hidden based on your answers.
 - You can change your answers as often as needed until you submit.
 - You can either click **Save draft** or let the assessment be saved automatically.
 - You can stop and start again as often as needed.
 - You might be able to leave questions unanswered, it depends on how the questionnaire template was defined.
 - You can use the question filter in the navigation panel to control the questions that are displayed. You can choose **View all questions**, **View completed questions**, **View incomplete questions**, or **View flagged questions**. Starting with version 8.3.0.2, you can also choose **View required questions**.
 - Click **Clear** to discard an answer or text you entered and set the question back to its initial state.
 - Click **Activity** to see who last answered a question and when.
4. If a question already has an answer, it was copied from the same question on a previous questionnaire assessment for the asset. You can retain the answer or change it. Click **Comment** to display comments or **Attachment** to display attachments. You can retain, delete, or change them. The name of the source questionnaire assessment might also be displayed. Whether comments, attachments, and source information are displayed depends on settings when the program was launched.
5. If comments are enabled for a question, click **Comment** to add additional information to an answer.

All questions can have comments and each question can have multiple comments. A comment can be an optional or mandatory part of an answer. If it is mandatory, your answer is marked as incomplete until you add a comment.

In version 8.3.0.1, the maximum length of a comment is 252 characters. Starting in version 8.3.0.2, the maximum length of a comment is 1000 characters.

You can copy and paste text into a comment. If you copy the text from another source, it must be in one line without paragraph breaks. Comments cannot be deleted.

6. If attachments are enabled for a question, click **Attachment** to add supporting documentation to your answer. All questions can have attachments. An attachment can be an optional or mandatory part of an answer. If it is mandatory, your answer is marked as incomplete and not scored until you add an attachment. You can add a description to an attachment; maximum length is 100 characters. Attachments can be deleted.
7. When you are finished answering questions, verify that you finished all the questions and that they are complete. You can change your answers. Verify that you added comments and attachments to questions that require them. You can delete attachments and add new ones. If the **Questions completed** progress indicator shows that there are some questions that you haven't answered, select **View incomplete questions** in the question filter to display the unanswered questions. Starting with version 8.3.0.2, you can also select **View required questions** in the question filter to display the required questions.
8. When the questionnaire assessment is complete, the next steps you take depend on the interface you are using.

- If you are answering the questionnaire after clicking a link in an email you received, click **Submit for Review** or **Submit and Close**. The workflow determines which icon is displayed.

When you are prompted to confirm the action, click **Submit**.

- If you are answering the questionnaire on the **Questionnaire** tab, click **Action**. Select the action, either **Submit and Close** for a 1 Stage questionnaire assessment or **Submit for Review** for a 2 or 3 Stage questionnaire assessment. When you are prompted to confirm the action, click **Submit**.

The system changes the stage to closed for a two-stage lifecycle or to review for a three-stage or four-stage lifecycle. You can still access it but you can no longer edit it.

Results

After you submit a question assessment, what happens next is determined by its workflow. The question assessment can either be closed or move through a review process. If it moves through a review process, a reviewer receives an email (if configured) and reviews it. If they reject it, it is returned to you and you receive an email. Look in the section list for messages about rejected answers. Open the section and find the rejected answers. The reviewer added comments or reasons that explain why your answer was rejected. Make the corrections and resubmit it.

Reviewing a questionnaire assessment

You can review questionnaire assessments that people in your organization have completed. You can review a questionnaire assessment if it is at the review lifecycle stage.

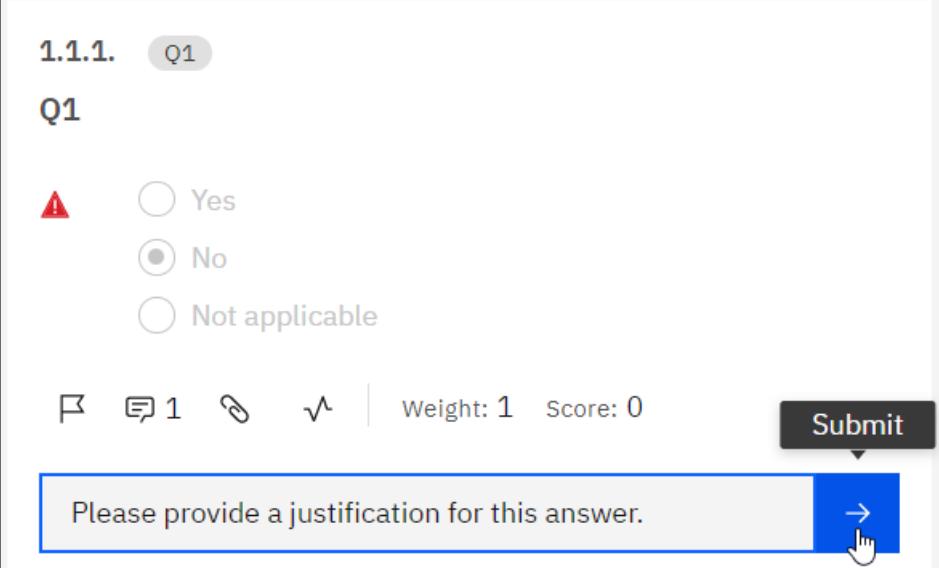
About this task

By default, when a questionnaire assessment is in the review stage, anyone with the right to edit the questionnaire assessment can open it and review the answers. To restrict access, set the **Access Control** property on the Review stage to either **Strict (non-participants cannot view a task at this stage)** or **Read (non-participants can view but not edit a task at this stage)**, setting the **Access Control** property, see *Defining a standard stage* in the *Configuring GRC Workflow* chapter of the *IBM OpenPages with Watson Administrator's Guide*.

Procedure

1. You can open a questionnaire assessment for review in one of the following ways:
 - Open the email and click the URL. The system opens the questionnaire assessment in a new window. Click **Open questionnaire**.
 - If email is not configured, click **Assessments > Questionnaire assessments**. The system displays a list of questionnaire assessments. Click the questionnaire assessment that you want to review. The **Questionnaire** tab is displayed.

2. Review the answers.
3. If an answer requires more information from the respondent, click the flag icon  , enter the reason for flagging the answer, and click **Flag**.
4. If you want to make a comment on an answer, click the comment icon  , enter your comment, and click the submit arrow to submit the comment as shown in the following image.



The screenshot shows a questionnaire review interface. At the top left, it says "1.1.1. Q1". Below that is the question "Q1". There are three radio button options: "Yes" (unchecked), "No" (checked), and "Not applicable" (unchecked). To the left of the "Yes" option is a red warning icon (an exclamation mark in a triangle). Below the options are icons for flagging () and commenting () with the number "1", a link icon (, a checkmark icon (, and text indicating "Weight: 1 Score: 0". To the right is a "Submit" button. At the bottom is a blue input field with the placeholder "Please provide a justification for this answer." and a blue "Submit" button with a white arrow icon.

In version 8.3.0.1, the maximum length of a comment is 252 characters.

Starting in version 8.3.0.2, the maximum length of a comment is 1000 characters.

5. When you are finished reviewing all of the answers, take one of the following actions.

- If all of the answers are complete and need no further action, click **Action > Approve and Close** (three-stage lifecycle) or **Action > Submit for Approval** (four-stage lifecycle). The option names might be different depending on the GRC Workflow that is driving the review process.
- If there are answers that you flagged, or comments you made that you want the respondent to address, click **Action > Reject** in the title bar.

The questionnaire assessment goes back to the information gathering stage. It is sent back to the respondent. The respondent receives an email and launches the assessment, responds to the flagged questions, and resubmits it. When it comes back to you, you receive an email, open it again, and follow the same process to review it. You can approve it or reject it again. On the second and subsequent reviews, you can provide a comment on answers you accept that you previously rejected.

Results

After you approve a questionnaire assessment, what happens next is determined by its workflow.

If it is assigned to a three-stage lifecycle, the system closes it. Both the respondent and the reviewer can view it but neither one can edit it.

If it is assigned to a four-stage lifecycle, an approver receives an email and reviews it, following the same process as the reviewer. The approver can flag or comment on answers and send the assessment back to you. Review the flagged answers and comments and resubmit it or reject it. If you reject it, it goes back to the respondent. When the approver clicks **Action > Approve**, the system closes the questionnaire assessment. At that point you can view it but no longer edit it.

Emails are not sent if the assignee remains the same. By default, emails are not sent when questionnaire assessments are closed.

Creating an ad hoc questionnaire assessment

Use an ad hoc questionnaire assessment to create a single questionnaire assessment that is independent of a program.

About this task

The questionnaire assessment can be assigned to another user, not just the user who created it.

Procedure

1. Click  **Assets** and select the asset for which you want to create a questionnaire assessment. For example, click  **AssetsResources** and click a resource.
2. On the **Task** tab, expand the **Assessment, Issues and Vulnerabilities** section.
3. Click **New**.
A view opens where you can create a new questionnaire assessment. The asset where you started is assigned to the questionnaire assessment.
4. Assign a lifecycle to the questionnaire assessment.
5. Add optional information.
6. Click **Save**.
Another **Task** tab opens where you can work with the questionnaire assessment.
7. Click **Select Questionnaire Template** and assign a template to the questionnaire assessment.
8. Click the **Questionnaire** tab to open the questionnaire assessment and answer the questions.
The workflow that the questionnaire assessment is assigned to starts.
9. Answer the questions. You can either click **Save draft** to save or let the assessment be saved automatically.
When you are finished answering all of the questions, click **Action**. Select the action, either **Submit and Close** for a 1 Stage questionnaire assessment or **Submit for Review** for a 2 or 3 Stage questionnaire assessment. When you are prompted to confirm the action, click **Submit**.

Programs

You use programs to define and launch questionnaire assessments.

Before you use programs, see [“Questionnaire overview” on page 85](#).

A program defines the people who are involved in an assessment, including the responsible manager, the reviewers, and the approvers. It also defines the questionnaire template that the program uses. A program is based on an underlying asset that you want to assess. These assets can be processes, subprocesses, resources, employees, vendors, or engagements.

Programs that are based on employees create questionnaire assessments that are sent to the employees. Programs that are based on resources, processes, subprocesses, vendors, or engagements are based on selected objects and are sent to the objects' primary owner. If an employee has no employee account or an asset has no primary owner, there is no respondent for the questionnaire assessment.

First, create a program object and assign the questionnaire template and assets to it. When you launch it, the questionnaire assessment's stage is set to information gathering. A workflow starts because workflows are used to drive the review process. A questionnaire assessment moves from one stage to the next when a user submits, rejects, or approves it. The stage owner can come from the underlying asset or the program owner if it is the final stage.

You can update the assets that are assigned to a program and relaunch it if new assets were added after the initial launch.

Users who launch programs must have read permissions for questionnaire assessment and questionnaire template objects. Set up permissions so that only program owners can delete questionnaire assessments.

Launching a program and copying answers

When you launch a program, you can include answers from a previous program in the questionnaire assessment. For example, this year you can send out questionnaire assessments that are the same or similar to ones you sent last year, and you can include last year's answers. The recipient receives questionnaire assessments where some or all of the questions include answers that the recipient can keep or change.

You can use the questionnaire template from the previous program or save it as a new template and make changes. The two programs do not have to use the same questionnaire template. To copy answers, the questions must retain their internal identifiers from one questionnaire template to another. You can make slight changes to questions in the new questionnaire template if the question remains essentially the same. You can add new questions and delete questions. Don't rewrite an existing question because answers that no longer apply can be copied to it.

Creating and configuring a program

Create, configure, and launch a program to create questionnaire assessments.

Procedure

1. Open the **Primary menu** and select **Assessments > Programs**.
2. Click **New**.
3. Complete the following information on the form to create the new program object:
 - a) In the **Name** box, enter the name of the program.
 - b) In the **Type** box, select either **Classification Questionnaire** or **Assessment Questionnaire**.
 - c) In the **Primary Owner** drop down box, either select a user from the list of **Recently Used** names, or enter a name and select from the list of users that is displayed. Similarly, you can specify a **Reviewer**, **Approver**, and **Additional Owners**.
 - d) Click **Select Primary Business Entity**, select a Business Entity, and click **Done**.
 - e) In the **Select Primary Business Entity** drop down box, select the number of stages you want for your workflow.
 - f) Optional: You can specify an **Assessment Due Date** by either entering a date or selecting a date from the calendar.
4. When you have finished completing the form, click **Save**.
The program page opens on the **Task** tab.
5. Complete the following information on the **Task** tab.
 - a) Click **Select Questionnaire from Library**, select a questionnaire, and click **Done**.
 - b) In the **Assets in Program** box, select a type of asset: **IT Resources**, **Processes**, **Sub-Processes**, **Vendors**, **Engagements**, or **Employees**.
Click **Add** and select resources. When you have selected the resources you want, click **Done**.
Repeat this step for all asset types you want to choose.

The program is now ready to launch. Before you launch a program, ensure that the assets you have chosen have employee accounts or primary owners.

What to do next

Launch the program. For more information, see [“Launching a program” on page 105](#).

Launching a program

You launch a program to create questionnaire assessment instances.

Before you begin

- Create and configure a program object. For more information, see [“Creating and configuring a program” on page 104](#).
- Verify that the assets have employee names or primary owners.

About this task

When you launch a program the first time, the system creates questionnaire assessment instances. You can launch it again if you added new assets to it. When you launch a program a second time, the system creates only questionnaire assessments for the new assets. Existing, unchanged questionnaire assessments are not affected.

Procedure

1. To begin launching a program, choose one of the following steps:
 - a) If you are already on the **Task** tab of the program page, click **Launch** in the **Assessment Management** box.
 - b) Otherwise, open the **Primary menu** and select **Assessments > Programs**. The system displays a list of programs.
Click **Launch** in the **Launch Program** column. The system displays a message with the number of questionnaire assessment instances that will be created.
2. If **Program to copy answers from** is displayed, you can select a source program you want to copy answers from.
For more information about copying answers from another program, see [“Launching a program and copying answers” on page 104](#).
3. Click **Launch**.

Results

The system:

- Creates one questionnaire assessment object per employee, resource, process, subprocess, vendor, or engagement in the program. It does this in a background process.
- Starts the workflow for the questionnaire assessments.
- Sends emails to the respondents.
- Locks the questionnaire template.

What to do next

1. Review the status of the program launch.
 - a) If you are already on the **Task** tab of the program page, skip to step 1b. Otherwise, open the **Primary menu** and select **Assessments > Programs**. Click the program you want to see the status for.
 - b) On the **Task** tab, click **View** in the **Assessment Management** box. The **Process History** window displays the status for all processes.
 2. Review the questionnaire assessments the program created. Verify that the assets are correct. Make corrections if necessary and relaunch the program.
- To delete questionnaire assessments that were created in error, you must dissociate the questionnaire assessment from the asset.

Chapter 11. Applying Signatures and locks

You can add a signature to sign off on an object to indicate that the object meets your approval. It has no enforcement powers, and does not prevent the item from being modified after approval. However, modifications to the object are prevented if your system settings are configured to automatically apply a lock on the signed object. Another system setting can be set to lock the object's children of a particular object type when the parent is locked.

You can have a lock on an object either with or without a Signature.

Signatures

To add or revoke a signature, you must be a member of a group with signature privileges.

If the setting **Applications > GRCM > Signature > Cascade > <parent_object_type>** is set to a child object type, a Signature added to the parent is also placed on its children of the specified object type.

If the setting **Applications > GRCM > Signature > Mode** is set to **Autolock** on your system, when you add a Signature on an object, the object is locked and cannot be modified until you either revoke your signature or an administrator unlocks the object.

For more information about adding Signatures, see [“Adding a signature” on page 108](#).

For more information about revoking Signatures, see [“Revoking signatures” on page 108](#).

Locks

A lock on an object behaves the same way whether you lock an object manually or the lock is applied to an object as a result of an added Signature.

A closed lock icon  displayed next to the object's name in a Grid View or on the object's page indicates a locked object. Because a lock can be replicated down the object hierarchy, an object can inherit multiple locks. An object with multiple locks cannot be modified until all of the locks are removed.

If the setting **Applications > GRCM > Locked Objects > Lock Child Types > <parent_object_type>** is set to a child object type, when the parent is locked, all of its child objects of the specified type are locked.

Only one active lock can be placed on an object. Multiple locks can be inherited from parent objects as those objects are locked.

To lock or unlock an object, you must have the necessary permissions set on your account. For more information, see your system administrator for details.

You cannot perform the following actions on a locked object:

- Move the object to a new location.
- Edit any properties.
- Rename the object.
- Delete the object.
- Associate other objects with the object.

You can perform the following actions on a locked object:

- View the details of the object.
- Copy the object to a new location. The newly created copy is unlocked.

Adding a signature

If your user group has permissions to add a signature for the object type, you can add a signature to sign off on an object.

About this task

If the setting **Applications > GRCM > Signature > Mode** is set to **Autolock** on your system, when you add a Signature on an object, the object is locked and cannot be modified until you either revoke your signature or an administrator unlocks the object.

When a parent object has a signature lock applied to it, only one active lock can be placed on that object. Multiple locks can be inherited from parent objects.

Procedure

1. Click  to open the Primary menu.
2. Expand the categories to see the object types.
3. Select the object type that you want to work with.
A Grid View opens.
4. Click the name of the object that you want to work with.
5. Click the **Admin** tab.

If the **Admin** tab is not available, the Role Template that is associated with your user account does not have the necessary permission to view the tab.

6. In the **Children** section, click the **Signatures** tab.
7. Click **New**.
8. On the **New Signature** tab, you can enter a **Description** and **Comments**.
9. Click **Save** to create the new Signature.

Revoking signatures

You can revoke a signature or sign off on a signature that you manually added. With the out-of-the-box workflow, Signature Revoke, you can only revoke a signature that you created.

About this task

To unlock an object with a signature lock and retain the signature, your group must be added to the value of **Applications > GRCM > Signature > Permission** > *<object_type>* where *<object_type>* is the object type of the object with the signature.

All signature locks (including inherited locks) must be removed from an object before it can be edited. To remove an inherited lock, use the **Signature Revoke** workflow to enable the action to revoke the signature from the parent object.

Procedure

1. Click  > **Solution Configuration** > **Workflows** > **Signature Revoke**.
2. Select the action between the **Start** and **End** stages.
The **Action Properties** panel is displayed.
3. Expand the **Validations and Operations** section.
4. Click **Unlock Parent Process - Lock or unlock objects**.
5. In the **Operations** panel, click **Edit** for **Target Objects**.
6. In the **Related Object Type** field, select the object type that you want to revoke the signature for. Click **Publish**.

7. Open the locked object. In the section of the Admin tab where the children of the object are listed, the signature is shown as a child of the locked object. Click the name of the signature you want to revoke.
8. Click **Actions > Start Signature Revoke**.
9. When prompted to confirm the action, click **Continue and close tab**.
The **Status** field for the signature shows it is **Revoked**.

Viewing signatures

You can view a signature that is associated with an object.

Procedure

1. Click  to open the Primary menu.
2. Expand the categories to see the object types.
3. Select the object type that you want to work with.
A Grid View opens.
4. Click the name of the object that you want to work with.
5. Click the **Admin** tab.
If the **Admin** tab is not available, the Role Template that is associated with your user account does not have the necessary permission to view the tab.
6. In the **Children** section, click the **Signatures** tab.
The Signatures for the object are listed in a Grid View. To see if a Signature is in effect, click the Signature and check the **Status** field.

Locking and unlocking objects

The types of objects that can be locked are determined by a system setting. You can lock only first-level objects.

When you can lock an object, an open lock icon  appears next to the name of the object. When an object is locked, a closed lock icon  is displayed next to the name of the object. A gray closed lock icon indicates that the object has inherited the lock. To remove an inherited lock, you must unlock the parent object.

About this task

When you lock a parent object and the application setting is specified to lock child objects, its child objects of the type specified in the setting are also locked.

When you unlock an object, the closed lock icon is replaced with an open lock icon on the object, and inherited locks are removed from any associated child objects. When you unlock an object with signatures, the signatures remain in effect and are not revoked.

Procedure

1. Click  to open the Primary menu.
2. Expand the categories to see the object types.
3. Select the object type that you want to work with.
A Grid View opens.
4. Perform one of the following actions:
 - a) To unlock one or more objects, select the check box of each business entity that you want to unlock.
Click **Unlock**.

- b) To lock an object, click the object you want to lock and click the  icon that is displayed next to its name.

Chapter 12. Using OpenPages Platform objects

Platform objects are the fundamental objects that make up the core of OpenPages. They are part of every OpenPages system, regardless of the solutions that are configured.

Business Entities

Business entities are abstract representations of your business structure. A business entity can contain subentities (such as departments, business units, or geographic locations). The entity structure that you create depends on your business needs. For example, you might create a parent entity for your business headquarters and a subentity for each location or department. You might also want to represent both a legal entity structure and a business entity structure.

Business entities are also used to organize library data such as risk and control libraries, or regulatory content (for example, laws, regulations, and standards).

When you set up your business entity hierarchy, work with your IBM OpenPages consultant. The structure of your business entities impacts the type and quality of information that can be extracted from the application.

In IBM OpenPages Internal Audit Management Business Entities also model the Internal Audit organizational structure, which facilitates reporting and security for the Internal Audit team. The Internal Audit organizational structure is a top-level entity to minimize the chance of accidentally granting a business user access to Internal Audit information. The elements of the Audit Universe that are owned by an Internal Audit team are associated with the team Business Entity. Another top-level Business Entity structure can be created to organize confidential Audits, providing special security to these Audits. Business Entity can also be used to organize a Library of template audit content.

Risk Assessments

Risk assessments give you the ability to evaluate and report potential liabilities for a set of business entities or processes. A Risk Assessment object contains the names of the assessor and reviewer, the assessment time frames, and the status of the assessment. Use a Risk Assessment to manage the risk self-assessment process. Associate Risk objects with a Risk Assessment to create a link between the business entity and the Risks. For example, create a Risk Assessment to assess operational risks, such as external theft and fraud, internal fraud, physical property damage, or business disruption.

Risk Assessment Evals

Risk Assessment Evaluation objects are similar to Risk Evaluation objects except that they are instantiated as children of Risk Assessments. They store risk assessment data.

Control Objectives

A Control Objective is an assessment object that defines the risk categories for a Process or Sub-Process.

Control Objectives define the COSO compliance categories that the Controls are intended to mitigate. Control Objectives can be classified into categories such as Compliance, Financial Reporting, Strategic, Operations, or Unknown.

After a Control Objective is identified, the Risks belonging to that Control Objective can then be defined. In most cases, each Control Objective has one Risk that is associated with it. However, it might have more than one Risk that is associated with it. For example, a financial services company employs traders that are aware of the required ethical standards. The HR department sets up a control objective called 'Personnel'. A risk that is associated with the Control Objective is, "Employees engage in business dealings that conflict with the company objectives for ethical and fair trading."

By default, an OpenPages Internal Audit Management Control Objective is disabled. This object is not often used, except to align with other solutions that might use it.

Processes

Processes represent the major end-to-end business activities within a business entity that are subject to risk. Processes reside in areas such as financial reporting, compliance, and information security. For example, Processes in the Accounts Receivable department such as order-to-cash could be improved with controls to protect against financial reporting risks such as fraudulent behavior or financial reporting inaccuracies.

In OpenPages Internal Audit Management, Processes are also used in scoping audits. Audits can copy Processes that are created by the business entity, or create their own Processes.

Process Evaluations

Process Evaluation objects are children of Process objects and they are used to capture process measurement values for trending purposes.

When the reporting periods do not align with the evaluation cycles, you can use Process Eval objects to capture multiple evaluation cycles within a single reporting period.

Sub-Processes

A Sub-Process is a component of a Process. It is used to divide Processes into smaller units for assessment purposes. For example, an order-to-cash financial Process might be composed of several Sub-Processes such as accounts payable, purchasing, and general accounting. Any of these Sub-Processes might expose the Business Entity to risk and can be improved by using controls.

Controls

Controls are policies and procedures that make sure that risk mitigation responses are performed.

After you identify the risks that occur in your practices, establish controls, such as approvals, authorizations, and verifications. These controls remove, limit, or transfer these risks.

Controls provide either prevention or detection of risks. Controls are associated with tests that ensure that a control is effective. For example, the human resources department identifies a risk in the new hire process. The process does not comply with regulations and guidelines for diversity and discrimination. Define controls to mitigate this risk, such as, establish hiring policies and procedures, and conduct mandatory training for hiring managers.

In IBM OpenPages Internal Audit Management use Controls to create a detailed model of the Controls that exist or that you want to enforce on the activities that are audited. If shared with the Business, the Controls can be rated separately by Internal Audit and by the Business.

Compliance Plans and Compliance Themes

The Compliance Plan and Compliance Theme objects are used with IBM OpenPages Regulatory Compliance Management.

Compliance Plans allow for the creation of an overall plan to address regulatory requirements in a structured setting, or to structure a set of regulatory tasks. For example, a Compliance Plan might be created to track regulatory tasks, or to conduct compliance assessments against various regulatory requirements. One or multiple Compliance Themes can be grouped into an overall Compliance Plan for the organization.

Compliance Themes allow you to organize regulatory requirements into themes for assessment purposes. This approach enables you to assess compliance requirements beyond the typical business entity approach, by grouping regulatory requirements across themes that impact across the organization. Sample themes might include data privacy, governance, accountability, and so on. You can assess the

impact of regulations not just within business entities, but across themes that touch on multiple areas of the organization.

You can deploy a Compliance Theme to multiple business entities. Or you can deploy multiple themes to a single business entity. The RCM Theme Deployer creates the structure for you, including the compliance plan, compliance theme, and the relevant requirement evaluation records beneath the theme, linked to the relevant Control objects.

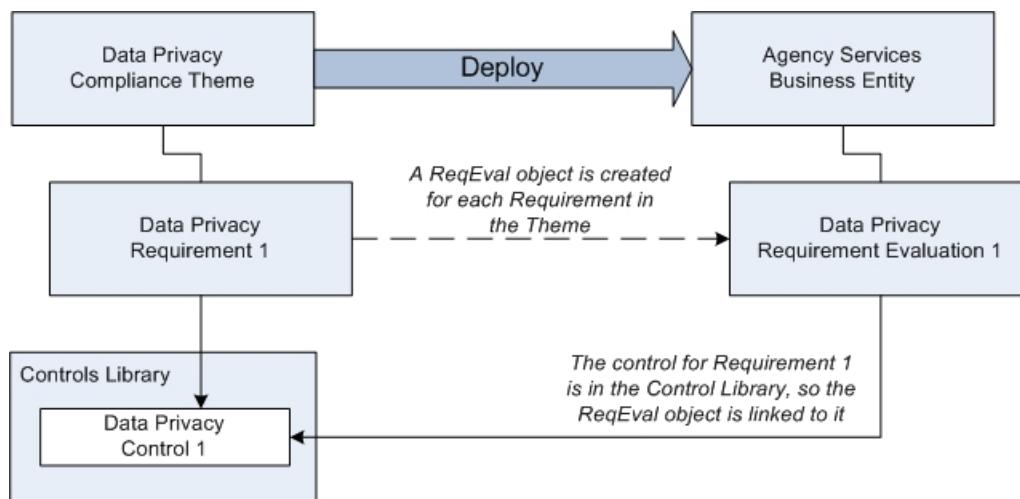
For example, suppose that you want to deploy the Data Privacy compliance theme to the Agency Services business entity. The Data Privacy compliance theme has 35 related requirements. Some of these requirements have controls associated with them. When you deploy the Data Privacy theme, a Requirement Evaluation object is created for the business entity for each of the 35 requirements of the theme. You now have the requirement evaluation objects that you need to assess how well the business entity is meeting the requirements.

You can choose how or if control objects are created or linked. You can choose to create or link controls, link controls, or you can choose not to handle control objects when you deploy a theme.

For example, suppose that you deploy the Data Privacy theme and you choose to create or link controls. The associations between controls and requirement evaluation objects are set up for you, based on the following steps:

- Does Agency Services already have an associated control that is relevant to the requirement? If so, create a link between the control and the requirement evaluation.
- If Agency Services does not have an associated control that is relevant, is there a control in the RCM Library that is relevant? If so, create a link between the Library control and the requirement evaluation.
- If Agency Services does not have an associated control that is relevant and no Library control objects are relevant, create a new control object and link it to the requirement evaluation.

In this example, Data Privacy Requirement 1 is linked to a control called Data Privacy Control 1. Agency Services does not yet have this control. Therefore, Data Privacy Requirement Evaluation 1 is linked to the control in the Controls Library.



Deploying multiple Compliance Themes to a business entity

You can deploy multiple compliance themes to a business entity.

Procedure

1. Click > **Regulatory Compliance** > **Compliance Plans**.

Use the filters to find the plan that you want to use.

2. Click the Compliance Plan that has the Compliance Themes that you want to deploy.

3. Click **Launch** under **Compliance Plan Administration**.

The **Deploy Compliance Themes into Entity** window is displayed.

4. Select the compliance themes that you want to deploy. Click **Next**.
5. Select how to deploy the related Control objects.
6. Click **Next**.
7. Review the information on the **Preview** tab.
8. Click **Submit**.

The deployment process begins. the **Process History** page shows its progress. Click **Refresh** to update the page.

9. Close the **Process History** window.

Note: To see a list of all of the processes that you are running, click  > **Other > Background Processes**.

Deploying a Compliance Theme to multiple business entities

You can deploy a compliance theme to multiple business entities.

About this task

When you deploy a Compliance Theme to one or more business entities, the objects and associations that you need for requirement assessments are created for you. You can also choose to create and/or link to the controls that are associated with the requirements that are associated with the theme. You can also choose not to create or link controls.

Procedure

1. Click  > **Regulatory Compliance > Compliance Themes**.

Use the filters to find the theme that you want to deploy.

2. Click the Compliance Theme that you want to deploy.
3. Click **Launch** under **Compliance Theme Administration**.

The **Deploy Compliance Theme into Selected Entities** window is displayed.

4. Select the business entities that you want to deploy the Compliance Theme to. Click **Next**.

Note: Rich text fields are shown in plain text in the RCM Theme Deployer.

5. Select how to deploy the related Control objects.

- **Create/Link:** If the Library Control is not already associated with the business entity and if there is no Control object below the business entity to map the Requirement Evaluation objects to, the RCM Theme Deployer creates a new Control object.
- **Link:** If the business entity has a Control that is relevant, the RCM Theme Deployer creates a link between the Requirement Evaluation object and the Control that is in scope for the business entity.
- **None:** No action. The RCM Theme Deployer does not create or link Control objects.

6. Click **Next**.

7. Review the information on the **Preview** tab.

8. Click **Submit**.

The deployment process begins. the **Process History** page shows its progress. Click **Refresh** to update the page.

9. Close the **Process History** window.

Note: To see a list of all of the processes that you are running, click  > **Other > Background Processes**.

Control Eval

Control Eval objects are similar to Risk Evaluation objects except that they are created as children of Controls. They store control assessment data. When report periods and control assessment evaluation cycles are not aligned, use Control Eval objects to capture multiple evaluation cycles within a single reporting period.

Risks

Risks are potential liabilities. Risks can be associated with business processes, business entities, or a compliance with a mandate. Each risk has controls that provide safeguards against the risk. The controls help lessen consequences that result from the risk. Use the Risk object to categorize risks; capture the frequency, rating, and severity of observed and computed risk data; and view reports to identify top risk items. For example, the Cash account has a process that is called Payroll. A potential risk that might occur in the payroll is a duplicate payroll disbursements or the creation of fictitious payroll disbursements. Identifying risks in processes is a key component of developing a financial controls documentation project.

In OpenPages Internal Audit Management, a Risk that is shared between an internal audit and the business can be rated separately.

Risk Eval

Risk Evaluation objects are children of Risk objects and they are used to capture risk measurement values for trending purposes. Often reporting periods do not line up with risk evaluation cycles and so Risk Eval objects can be used to capture multiple evaluation cycles within a single reporting period.

Test Plans

A Test Plan is a container for tests and can be associated with parent Control objects and child objects, such as Test Results and Issues. Determine the operating effectiveness of a Control by conducting detailed tests and then documenting the results. Test Plans describe the mechanisms that determine if a Control is effective. For example, a sample Control is: "Human Resources authorizes changes in employee status." A test for this control might be: "Verify HR authorization stamp on new employee records." The test verifies that the new Control is implemented and in use. A Test Result is the information that is obtained from running a test plan.

Test Plans

A Test Plan is a container for tests and can be associated with parent Control objects and child objects, such as Test Results and Issues. Determine the operating effectiveness of a Control by conducting detailed tests and then documenting the results. Test Plans describe the mechanisms that determine if a Control is effective. For example, a sample Control is: "Human Resources authorizes changes in employee status." A test for this control might be: "Verify HR authorization stamp on new employee records." The test verifies that the new Control is implemented and in use.

The default OpenPages Internal Audit Management configuration uses the Workpaper object in place of the Test Plan and Test Result. The Audit object needs access to these objects because they are often used to document business testing.

Test Results

A Test Result is the information that is obtained from running a test plan.

The default OpenPages Internal Audit Management configuration uses the Workpaper object in place of the Test Plan and Test Result. The Audit object needs access to these objects because they are often used to document business testing.

Issue and Action Items

Although issues are generated in areas where internal controls are not properly implemented, use the Issue object to document a concern that is associated with any object type. For example, a Test is associated with a Control, but the Test failed the last time that it completed. This potential problem can be highlighted by capturing it in an Issue object.

An Issue is resolved through Action Items. You can use an Action Item or a series of related Action Items to form an Action Plan. Each Action Item is assigned to a user for resolution, and tracks progress. After all Action Items for an Issue are complete (when an assignee sets the value to 100%), close the Issue.

In OpenPages Internal Audit Management, Issues and Action Items can be used instead of, or with, Findings.

Adding comments to an Action Item

You can add comments to an Action Item from a task view. After you save a comment, it cannot be edited or deleted.

Procedure

1. Open the task view for the parent object that you are interested in. You can access the task view from a link in an email, a helper, a dashboard, or a grid view.
2. Under **Related Content**, click **Issues**.
3. Click the name of the issue.
4. Under **Remediation**, click the action item.
5. To add a comment, click the **Comment** field. Type your comment and then click outside the field.
6. Click **Save**.

Completing Action Items

You can select a percentage in the Percent Complete field of an Action Item object to identify your progress or completion of the assigned action item. To show that you have completed an action item, set the percentage complete to 100%.

Procedure

1. From the primary menu, click **Remediation > Action Items**.
2. Click the action item that you are interested in.
3. In the **Percent Complete** field, type a value, such as 100.
4. To add a comment, click the **Comment** field.
5. Click **Save**.
6. If the action item is complete, click **Action > Submit for approval**.

Preferences and Preferences Groups

The Preference object is a child of a Business Entity or Preference Group, and includes variable values that can drive reports, workflows, and computed fields. It has entity-specific variable values that enable different behavior for the same workflows. For example, define variable values to determine the behavior for review and approval workflows such as the appropriate users for each level of review and approval, and the thresholds for determining how many levels of review and approval are required.

The Preference Group is used to group Preference objects together. Without this grouping object, each Preference object must be associated separately with each relevant Business Entities. The Preference Group helps minimize the associated maintenance.

In the default IBM OpenPages Internal Audit Management configuration, these objects are used to hold weights for Risk Factors used in Annual Assessment Risk Ranking. Since the weights and factors can be different for each type of audit, such as financial, operational, or strategic, create a separate Preference instance for each audit type. As a child of Business Entity, this approach provides the ability to have entity-specific variable values.

Capital Modeling

Capital Modeling objects store operational risk capital modeling results that are derived using the advanced measurement approach (AMA).

Chapter 13. Using OpenPages Internal Audit Management (IAM)

IBM OpenPages Internal Audit Management (IAM) provides internal auditors with a uniquely configured view into organizational governance, risk, and compliance (GRC), affording audit the chance to supplement and coexist with broader risk and compliance management activities.

As with all solutions, IBM OpenPages Internal Audit Management is completely integrated with financial controls management, IT governance, policy management efforts and operational risk management programs. The internal audit team has the capability to work as a fully integrated partner to business stakeholders, completely independently, or anywhere in between, as determined by the specific needs of the audit department or a particular audit being undertaken.

Key features include:

- The capability to risk rank the audit universe, configured according to your audit methodology
 - Powerful support for your risk assessment methodology
 - Full reporting across the entire audit universe
- The ability to define, plan, execute and report on audits across your business
 - Track and manage audits, audit sections, workpapers, and audit resource requirements and allocations
 - Automate operations through fully configurable reporting
- The ability to provide independent assurance to the business or work as an integrated part of GRC efforts
 - Opine on management's GRC efforts independently
 - Control access to confidential audits, fields, and audit-only views

OpenPages Internal Audit Management objects

This topic provides information about the OpenPages Internal Audit Management objects.

Audits

An Audit represents each execution of an audit against an Auditable Entity. For example, if an Auditable Entity is audited every two years, a separate child Audit instance must be created for each two-year period, such as 2006 and 2008. An organization might audit various processes. For example, you might audit an entity, a specific regulatory requirement, or a data center physical security.

The Audit object is configured as a self-contained object type and a folder is automatically created for each Audit instance. With this configuration, you can copy template audits and audit components from a library to the audit hierarchy without object naming conflicts.

Planning and scheduling of the Audit resources is done at the Audit level.

High-level Audit progress can be tracked by monitoring the Status values and Date values on the Audit. Key audit milestones can be tracked by adding fields that represent completion dates for each of the key milestones to track.

Use the Audit object to manage the audit process across your enterprise. The Audit identifies a holding point to capture information such as scope, objectives, timing information, review, execution, and approval roles. You can track a subset of audits that you are undertaking in a planning horizon, or all audits in the audit universe.

Auditable entities

An Auditable Entity object is a child of a Business Entity. An Internal Audit Business Entity hierarchy is established and all Auditable Entities are created as a child of the Internal Audit Business Entity object. Auditable Entities that are aligned with elements of the Business Entity Organizational Hierarchy are also associated to those Business Entities.

An Auditable Entity represents a single element of the Audit Universe; the collection of things in the business that might be audited. Most Auditable Entities represent business or legal entities, but they can also represent processes, long-running projects or initiatives, compliance programs, or shared IT Services.

Auditable Entities are risk ranked every year to determine the priority of performing an audit that year. A Weighted Risk Score is calculated but the score can be overridden.

Audit sections

Audit Sections can be used to represent the phases of the Audit, work programs within the Audit, or other components of the Audit at the level of granularity you want.

Organizations might have multiple standard components for each Audit. Template audits that include sections for each standard component can be created in a library. Planned and Actual Start and End Dates for these sections are used to report progress on key milestones in the audits.

Detailed Audit progress can be tracked by including an Audit Section for each milestone. Alternatively, some organizations might add fields on the Audit that represent completion dates for each of the key milestones they want to track.

Although Audit Sections can be used for planning and scheduling Audit resources, most organizations find this method to be too detailed.

Plans

A Plan object type facilitates audit resource scheduling and allocation at any level. For example, you can create a single Plan object for an entire audit, or you can create one Plan object per task for each auditor who is involved with the audit. Plan objects are used to determine the availability, skills, and experience required of the desired resource. OpenPages Audit views, reports, and so on, are aligned with Planning at the Audit level. Plans can instead be associated to Audit Sections, in which case these components would need to be modified.

Plan objects also drive time tracking - all time is tracked against Plans. A Timesheet object type is used to record weekly actual hours and expenses that are expended against a Plan object for an Audit. Because Timesheet objects are associated with Plans, it is easy to track deviations between planned and actual time and expenses.

You typically create or modify a Plan object by using the Add or Modify Plans helper, which audit owners can access from a link on the Audit task view. You can also edit plans (but not create them) by accessing the **Audit Management > Plans** menu item.

Workpapers

A Workpaper is any artifact or deliverable you want to track in the scope of an audit. It can represent an engagement letter, a testing matrix, interview notes, or anything else appropriate to the audit in question. The workpaper itself can be attributes that are stored on the Workpaper object, or it can be a Microsoft Word, Microsoft Excel, or other type of file that is attached to a Workpaper object. When Workpaper is used for test evidence, it documents both the test planning and the test results.

Create a Workpaper object from the task view of an Audit Section. Workpaper objects can also be copied from a library, where they represent templates of different types of workpapers that are generated by an internal audit department.

Findings

Findings can be used to represent observations that are reportable to the business, to the Audit Committee, or both. Alternatively, Findings can be used to represent individual factual observations, while Issues are used to represent consolidated themes and systemic problems, which are then reported to the business, to the Audit Committee, or both.

A Finding represents anything that is uncovered in the course of an audit that needs to be accounted for and addressed by management. You can use a finding to track management's progress in addressing the underlying issue identified. The Issue object can be used in place of, or in conjunction with, the Finding object.

Auditors

Resource planning and allocating requires key information about each individual who might perform audit work. The Auditor object is used to create a pool of Auditors who can be assigned to Audits.

Each user who is assigned to audit work is represented as an Auditor instance. Auditors are then available for resource allocation. The Auditor object includes attributes to use to evaluate and select Auditors for audit engagements, such as specialties, languages, and certifications. Auditor objects are associated with the relevant component of the Internal Audit organizational hierarchy. As a best practice, match the Name on the Auditor object with the username.

Audit review comments

The Audit Review Comment object type is used to provide feedback during the review process for an Audit and its components. It is associated as a child to the instance of the Audit, Section, Workpaper, or Finding for which feedback is being provided.

Chapter 14. Using OpenPages IT Governance (ITG)

IBM OpenPages IT Governance (ITG) is an enterprise IT Governance solution that aligns IT services, risks and policies with corporate business initiatives, strategy, and operational standards.

IBM OpenPages IT Governance allows you to manage internal IT control and risk according to the business processes they support. In addition, IBM OpenPages IT Governance unites multiple silos of IT risk and compliance to deliver improved visibility, better decision support, and ultimately enhanced corporate performance.

Key features include:

- IT Regulatory and Policy Compliance
- Risk and Control Assessments
- Control Testing and Issue Remediation
- IT Resource Management
- Incident tracking
- Vulnerability tracking and scoring
- Key Performance and Key Risk Indicators
- Reporting, monitoring and analytics

OpenPages IT Governance terms you should know

This topic provides terms to use in IBM OpenPages IT Governance.

Application

An object that defines a software program that is used to support an IT service.

Incident

An object that records an IT occurrence that has an actual or potentially adverse effect on your enterprise.

Infrastructure

An object that defines the physical equipment or physical location that is used to support an IT service.

Library

A holding area for the mandates that are relevant to your enterprise.

Mandate

(1) An obligation to which an enterprise must comply. A mandate can be a governmental regulation (local, federal, or international), a best practice standard established by a standards organization, or an internal company policy. (2) An object used to establish your enterprise's compliance management process for a specific regulation or policy, such as PCI.

Personnel

An object that identifies the type of human resource (DBA, system administrator, business team, etc.) that is required to support an IT service.

Resource

Personnel, infrastructure, or application that is used to support an IT service.

Sub-mandate

An object used to establish the compliance management process for a sub-section of a regulation or policy. Usually a child of a Mandate object.

OpenPages Internal IT Governance objects

This topic provides information about the OpenPages Internal IT Governance objects.

Mandates

Mandates represent external items with which organizations need to comply, such as laws, regulations, and standards. Content can be pulled from third-party providers, such as UCF, Ascent Reg Tech, or Wolters Kluwer. Mandates are represented in a Library Business Entity structure, and are not replicated throughout the system.

Sub-Mandates

Sub-Mandates represent external (or internal) sub-items with which the organization needs to comply. Content can be pulled from third-party providers, including UCF, Ascent Reg Tech, Thomson Reuters, and Wolters Kluwer. Typically, Sub-Mandates are represented in a Library Business Entity structure, and are not replicated throughout the system. Sub-Mandate is recursive, but Deloitte, UCF, Ascent Reg Tech, Thomson Reuters, and Wolters Kluwer content use exactly one level of Sub-Mandate. Sub-Mandates also support content for regulatory compliance. Sub-Mandates can be used to represent paragraphs that are derived from regulatory papers.

Requirements

The Requirement object details specific requirements, found in the related Mandate or Sub-Mandate object, that the organization needs to adhere to in order to be in compliance.

For example:

- Which object types and actions that are available in a view depends on your particular setup and permissions.
- To access the  > **Compliance** > **Requirements** option, you must have the necessary permissions set on your account.

Typically, you create requirements as standalone objects from the Requirements grid view, and then later associate the requirement to other objects. Alternatively, you can also create a Requirement object from the task view of a parent object (such as control objectives, controls, mandates, or sub-mandates).

From the Task View of a Requirement object, you can create, associate, or disassociate child objects (such as issues, signatures, files, or links), associate parent objects, and edit fields.

To see a history of changes, go to the **Activity** tab for the object.

You can access the **Requirements** menu item by clicking  > **Compliance**.

Control plans

Control Plan is a self-contained object type, which means that folders are created for each Control Plan. It groups multiple Baselines to represent elements in the operating environment that can be assessed for risk. It acts as a container for a collection of Baseline objects that together perform a function or comprise an IT service. For example, a Control Plan object might represent the servers, operating systems, applications, databases, support personnel, and facilities that provide the corporate email.

From the Task View of a Control Plan object, you can associate parent objects, attach files or links, and edit fields.

To see a history of changes, go to the **Activity** tab for the object.

Baselines

A Baseline object type represents a template of library requirements. It is self-contained, which means folders are created for each Baseline. Baselines in the Library represent elements of the IT operating

environment. They are linked to Requirements for that type of element. The Baseline object is copied from the library to the business hierarchy, an association is made to a Requirement in the library, and Risk, Control, and Test object types are created as child objects. The Risk, Control, and Test objects are populated with data from the Requirement.

For example, a Baseline object can represent a collection of Requirement objects for a data center with Personally Identifiable Information (PII) and a Confidential Data classification. For each Requirement object, set up a best practice to define what to control (Risk object) and how to control it (Control object). You can also establish a practice for verifying the effectiveness of the Control (Test object).

Typically, Baseline objects are created in the library as a starting point. Baseline object content will later be modified to conform to a specific operating environment, and assessments will be performed against the actual operating environment for this content.

You add a Baseline object via the **Add a Baseline** link on a Control Plan's task view. The Baseline object is copied from the library to the business hierarchy, an association is made to a Requirement in the library, and Risk, Control, and Test object types are created as child objects of the Baseline object. The Risk, Control, and Test objects are populated with appropriate data from the Requirement.

From the Task View of a Baseline object, you can associate parent objects, attach files or links, and edit fields.

To see a history of changes, go to the **Activity** tab for the object.

Resources and Resource Links

The Resource object type is used to represent categories of personnel, applications, infrastructure, processes, facilities, and functions. Resource objects of the same type often need to be related to each other. You can use a Resource Link object type to link two Resource objects.

Resources

The Resource object type is used to represent categories of personnel, applications, infrastructure, processes, facilities, and functions.

Note: The object types and actions available on a page depend on your particular setup and permissions.

Although Resource objects can represent an individual IT asset (for example, a particular application server), they more often represent a group of assets, such as a pool of application servers used for a specific application.

Typically, Resource objects are created by the owning or responsible IT business entity, and then associated with the object they support such as Business Entities, Processes, and Baselines.

To access Resource objects, click  > **Assets** > **Resources**.

Resource Links

Resource objects of the same type often need to be related to each other. You can use a Resource Link object type to link two Resource objects.

To link a resource to another resource, go to the task view of a Resource object, click the **Admin** tab, and then click **Create Resource Link**. Users with administration permissions can access the **Admin** tab in task views.

Also, you can add the Resource Link field to Task or Grid views for the Resource object to enable users to create Resource Links from these views.

Various filtering options allow you to select the Resource that you want to link to the Resource on the **Admin** tab. The Resource Link that is created is a child object of both of the linked Resources and is populated with the attributes of the parent objects.

Note that if the names or attributes of either parent Resource objects are changed after the Resource Link is created, the Resource Link name and its attributes will no longer correctly map to its parent Resources.

Incidents

An incident is an occurrence that has a potentially adverse effect on your enterprise. Create an Incident object to record information, such as the person responsible for investigating the incident and other related data. The Incident object is used by a workflow to facilitate incident analysis. Categories that apply to incidents include Regulatory Compliance, Legal Compliance, Information Security, and IT. Incidents are stored under the Business Entity or IT Resource where the event occurred and associated secondarily to an impacted Mandate or Policy.

KRIs and KRI values

KRIs (Key Risk Indicators) are components of the risk monitoring process and are used to provide leading or lagging indicators for potential risk conditions. Each instance of a KRI within the organization can have unique target and threshold limits. KRI values are used to record the actual value of an indicator at a specific point in time.

You can create and associate a KRI from the task view of a parent object type (for example, Risk, Control, Business Entity). From the task view of a KRI object, you can associate one or more parent business entities, risks or controls, and create, view, or edit one or more KRI values.

Note: You can associate KRIs with controls. Some KRIs can function like control indicators by signaling that a control is not working properly. For example, you set up several security perimeter controls with an associated KRI. If your company experiences a significant number of security breaches, the associated KRI can indicate that your security perimeter controls are not effective.

KRI values are used to record the actual value of an indicator at a specific point in time.

You can access the **KRIs** and **KRI Values** menu items by clicking  > **Indicators**.

KPIs and KPI values

KPIs (Key Performance Indicators) are components of the risk monitoring process and are used to provide leading or lagging indicators for potential risk conditions. Each instance of a KPI within the organization can have unique target and threshold limits. The KPI Value object type records the value of a KPI object at a specific point. Create a KPI object, and then periodically (daily, weekly, monthly) create a KPI Value object so you can detect trends.

A KPI object can be associated with one or more parent object types (such as, Business Entity, Control, Control Plans, Process, Sub-Process). Typically, you create and associate a KPI from the task view of a parent object type.

You can access the **KPIs** and **KPI Values** menu items by clicking  > **Indicators**.

Waivers

Waivers give you the ability to document, process and manage the lifecycle of exceptions to Corporate Policies, InfoSec Policies, IT Policies, or Regulatory Compliance Requirements. Waivers can be associated to Business Entities, Policies, Procedures, Requirements, Risks, Controls, Baselines, and Resources.

Some business examples of exceptions for which waivers might be requested include the following:

- Deviation from Policy (such as corporate, information security, and IT policies)
- Accepting Risk
- Authority to Operate (ATO)
- Interim ATO - allows a process to move forward prior to receiving certification (part of NIST guideline 800-37)

From the Task View of a Waiver object, you can associate parent objects, attach files or links, and edit fields.

To see a history of changes, go to the **Activity** tab for the object.

Policies

Policies represent internal guidelines that are adopted by the Board of Directors or senior governance body within an organization. The text of a Policy can either be stored in standardized fields on the object or as an attachment to the object. Policies typically have a distinct lifecycle from Draft to Published to Expired, as well as a review and approval process. Draft policies typically reside in the Organizational Business Hierarchy, while Published and Expired Policies typically reside in reference Library entities. Policies are also often mapped to applicable Mandates in the Library to which they relate.

Procedures

Procedures represent the what, where, when, and how of how policies are implemented in an organization. The text of Procedures is typically stored in the fields on the object. Typically, Procedures are represented as children of a Policy and reside in the same entity structure as its parent Policy.

Vulnerabilities

Vulnerabilities give you the ability to track and assess security weaknesses. You assign scores to Vulnerabilities using the Vulnerabilities Common Vulnerability Scoring System (CVSS v2). The parent object for a Vulnerability can be a Control Plan, Incident, Resource, or Risk. Typically, you import Vulnerabilities from an IT security solution.

From the Task View of a Vulnerability object, you can create, associate, or disassociate child objects (such as issues, signatures, files, or links), associate parent objects, and edit fields of a Vulnerability object.

To see a history of changes, go to the **Activity** tab for the object.

Chapter 15. Using OpenPages Operational Risk Management objects

IBM OpenPages Operational Risk Management combines document and process management with a monitoring and decision support system that enables organizations to analyze, manage, and mitigate risk in a simple and efficient manner.

IBM OpenPages Operational Risk Management helps automate the process of measuring and monitoring operational risk. It combines all risk data, including risk and control self assessments, loss events, scenario analysis, external losses, and key risk indicators (KRI), into a single integrated solution.

IBM OpenPages Operational Risk Management includes the following key features:

- Loss Events, which include the following activities:
 - Tracking, assessing, and managing both internal and external events that could result in operational loss.
 - Managing multiple impact events and recoveries that are associated with operational losses.
- Risk and Control Self Assessments (RCSA), which include the following activities:
 - Identification, measurement, and mitigation of risks.
 - Testing and documentation of internal controls.
- Key Risk Indicators (KRIs) and Key Performance Indicators (KPIs), which can track performance metrics to potentially show the presence or state of a risk condition or trend.
- Scenario Analysis, which is an assessment technique that is used to identify and measure specific kinds of risks, in particular, low frequency, high-severity events.
- External Loss Events provide the ability to import loss data from IBM FIRST Risk Case Studies, ORX, and ORIC loss databases into OpenPages Operational Risk Management for scenario analysis, benchmarking, and reports generation. You can also export loss data to analytic tools or capital allocation applications.
- Issue Management and Remediation (IMR), which includes the following activities:
 - Issue Creation and Assignment
 - Action Creation and Assignment
 - Remediation Performance
 - Issue closedown
 - Reporting
- Reporting, monitoring, and analytics.

OpenPages Operational Risk Management objects

This topic provides information about the OpenPages Operational Risk Management objects.

KRIs and KRI values

KRIs (Key Risk Indicators) are components of the risk monitoring process and are used to provide leading or lagging indicators for potential risk conditions. Each instance of a KRI within the organization can have unique target and threshold limits. KRI values are used to record the actual value of an indicator at a specific point in time.

You can create and associate a KRI from the task view of a parent object type (for example, Risk, Control, Business Entity). From the task view of a KRI object, you can associate one or more parent business entities, risks or controls, and create, view, or edit one or more KRI values.

Note: You can associate KRIs with controls. Some KRIs can function like control indicators by signaling that a control is not working properly. For example, you set up several security perimeter controls with an associated KRI. If your company experiences a significant number of security breaches, the associated KRI can indicate that your security perimeter controls are not effective.

KRI values are used to record the actual value of an indicator at a specific point in time.

You can access the **KRIs** and **KRI Values** menu items by clicking  > **Indicators**.

KPIs and KPI values

KPIs (Key Performance Indicators) are components of the risk monitoring process and are used to provide leading or lagging indicators for potential risk conditions. Each instance of a KPI within the organization can have unique target and threshold limits. The KPI Value object type records the value of a KPI object at a specific point. Create a KPI object, and then periodically (daily, weekly, monthly) create a KPI Value object so you can detect trends.

A KPI object can be associated with one or more parent object types (such as, Business Entity, Control, Control Plans, Process, Sub-Process). Typically, you create and associate a KPI from the task view of a parent object type.

You can access the **KPIs** and **KPI Values** menu items by clicking  > **Indicators**.

Loss events

Loss Events are used to track operational losses that occur in any part of an organization. Loss Events are typically stored under the Business Entity where the loss occurred. The Loss Event objects are used to track, assess, and manage the related internal loss data. You can add multiple impacts and recoveries for each Loss Event by using the Loss Impact and Loss Recovery objects. Loss Event, Loss Impact, and Loss Recovery objects can also be created in IBM OpenPages Loss Event Entry.

Your organization might call loss events "operational events," "risk events", or "incidents."

Loss impacts

A loss impact is a financial and non-financial consequence that results from a loss event. Loss Impacts track different types of impacts that are triggered by a Loss Event, such as legal liability, asset loss and damage, or business interruption. Multiple Loss Impacts can be associated with each Loss Event.

Loss recoveries

Loss Recovery objects are used to track the processes that are associated with recouping damages that result from Loss Events.

Scenario analysis

Scenario Analysis (SA) is an assessment technique that is used to identify and measure the potential occurrence of operational risk events or to assess operational resilience. Unlike traditional operational risk assessments, it is a forward looking "what if" analysis.

Scenario Analysis is designed to derive reasoned assessments of the likelihood and impact of plausible operational losses or to analyze operational resilience. You can use the Scenario Analysis process in OpenPages to construct Scenario Analyses and collect supporting qualitative and quantitative data. Within each Scenario Analysis, you can record a range of frequency and severity estimates in "buckets" along with supporting information for the assessment.

Scenario results

Scenario Result objects are children of Scenario Analysis objects and they are used to capture the results of Scenario Analysis workshops for comparison and trending purposes.

FIRST losses

FIRST Loss objects can be imported from the FIRST external loss database, for use with scenario analysis, benchmarking, and reports generation, and to export loss data to analytic tools or capital allocation applications. FIRST Loss objects are often organized by loss categories, such as product lines or event types. For example, use a Business Entity to create a hierarchy for FIRST loss data. Name the root object "FIRST-data", and create category folders under the root. Link external losses to it.

Typically, you create a FIRST Loss object from a parent Business Entity that resides in a library structure. The FIRST Loss object is a child of the library Business Entity and can then be associated to Scenario Analysis and other Business Entity object types.

From the Task View of a FIRST Loss object, you can associate parent objects, attach files or links, and edit fields.

To see a history of changes, go to the **Activity** tab for the object.

ORIC losses

ORIC Loss objects can be imported from the ORIC external loss database, for use with scenario analysis, benchmarking, and reports generation, and to export loss data to analytic tools or capital allocation applications.

ORIC Loss objects are typically organized by loss categories (such as by product lines or event types) into a non-business library structure. For example, you could use a Business Entity object type to create a hierarchy for ORIC loss data, name the root object ORIC data, and create category folders under the root and link external losses to it.

Typically, you create an ORIC Loss object from a parent Business Entity that resides in a library structure. The ORIC Loss object is a child of the library Business Entity and can then be associated to Scenario Analysis and other Business Entity object types.

From the Task View of an ORIC Loss object, you can associate parent objects, attach files or links, and edit fields.

To see a history of changes, go to the **Activity** tab for the object.

You can access the **ORIC Losses** menu item by clicking  > **Events**.

ORX losses

ORX Loss objects can be imported from the ORX external loss database, for use with scenario analysis, benchmarking, and reports generation, and to export loss data to analytic tools or capital allocation applications. You can import external ORX loss data into OpenPages Operational Risk Management for use with scenario analysis and capital modeling.

ORX Loss objects are typically organized by loss categories (such as by product lines or event types) into a non-business library structure. For example, you could use a Business Entity object type to create a hierarchy for ORX loss data, name the root object ORX data, and create category folders under the root and link external losses to it.

Typically, you create an ORX Loss object from a parent Business Entity that resides in a library structure. The ORX Loss object is a child of the library Business Entity and can then be associated to Scenario Analysis and other Business Entity object types.

From the Task View of an ORX Loss object, you can associate parent and child objects, attach files or links, and edit fields.

To see a history of changes, go to the **Activity** tab for the object.

You can access the **ORX Losses** menu item by clicking  > **Events**.

Cost centers

Cost Center objects are used to group loss events under a business entity. In many cases, firms want to track where loss events occur at a fine granularity, such as cost center level, but do not want to represent all of the organizational layers as business entities.

Typically, you create a Cost Center object from the task view of a parent Business Entity. You can then associate child Loss Event objects to a parent Cost Center object.

From the Task View of a Cost Center object, you can create, associate, or disassociate objects, attach files or links, and edit fields.

To see a history of changes, go to the **Activity** tab for the object.

You can access the **Cost Centers** menu item by clicking  > **Organization**.

Chapter 16. Using OpenPages Policy Management

IBM OpenPages Policy Management (PCM) is an enterprise compliance management software solution that reduces the cost, complexity, and cumbersome nature of compliance with multiple regulatory mandates and corporate policies.

IBM OpenPages Policy Management allows companies to manage and monitor compliance activities through a full set of integrated functionality including:

- Regulatory Libraries and Change Management
- Risk and Control Assessments
- Policy Management, including Policy Creation, Review & Approval and Policy Awareness
- Control Testing and Issue Remediation
- Regulator Interaction Management
- Incident Tracking
- Key Performance Indicators
- Reporting, monitoring, and analytics

PCM supports three approaches to initially load policy data and establish how it is organized and viewed in the Policy objects:

Datacentric

Policy attributes are stored as metadata in the Policy object. Policy and Procedure content is created, stored, edited, and reviewed in Policy Viewers. Red-lined track changes within draft iterations are not supported.

Docucentric

Policy attributes are stored as metadata in the Policy object. Policy and Procedure content is created outside of OpenPages with Watson and the entire document is attached to the Policy Object. Policy and Procedure content is never imported nor stored in OpenPages with Watson.

Hybrid

Policy attributes are stored as metadata in the Policy object. Policy and Procedure content is created and edited in Microsoft Word documents then imported and stored in OpenPages with Watson. The Track Changes functionality available in Microsoft Word is used for tracking red-line changes within draft iterations.

After the policy data is loaded, a pre-built workflow allows organizations to advance a Policy object through a policy review and approval process. A Policy progresses through each stage based on the values of the approval and publication status.

IBM OpenPages Policy Management terms you should know

This topic provides terms you should know to use IBM OpenPages Policy Management.

Sub-mandate

An object used to establish the compliance management process for a sub-section of a regulation or policy. Usually a child of a Mandate object.

Library

A business entity that contains the text of the regulations that are relevant to your enterprise. Within the business entity, each regulation is represented by a mandate.

Mandate

(1) An obligation to which an enterprise must comply. A mandate can be a governmental regulation (local, federal, or international), a best practice standard established by a standards organization, or an internal company policy. (2) An object used to establish your enterprise's compliance management process for a specific regulation or policy, such as HIPAA or GLBA.

OpenPages Policy Management objects

This topic provides information about the IBM OpenPages Policy Management objects.

Regulation applicabilities

The Regulation Applicability object resides in the organizational business hierarchy. It assesses and tracks the regulatory impact of a Mandate in the library on a Business Entity.

Mandates

Mandates represent external items with which organizations need to comply, such as laws, regulations, and standards. Content can be pulled from third-party providers, such as UCF, Ascent Reg Tech, or Wolters Kluwer. Mandates are represented in a Library Business Entity structure, and are not replicated throughout the system.

Sub-Mandate

Sub-Mandates represent external or internal sub-items with which the organization needs to comply.

Out of the box the configuration directly supports content provided by Deloitte and UCF, and the configuration can be adapted to support content from other vendors. Typically, Sub-Mandates are represented in a Library Business Entity structure, and are not replicated throughout the system. Sub-Mandate is recursive, but Deloitte and UCF content use exactly one level of Sub-Mandate.

Requirement

The Requirement object details specific requirements, found in the related Mandate or Sub-Mandate object, that the organization needs to adhere to in order to be in compliance.

Content can be pulled from UCF, Ascent Reg Tech, or other third-party providers. Typically, Requirements are represented in a Library Business Entity structure and are not replicated throughout the system.

For Ascent Reg Tech, a Requirement is created for each incoming Task.

KRIs and KRI values

KRIs (Key Risk Indicators) are components of the risk monitoring process and are used to provide leading or lagging indicators for potential risk conditions. Each instance of a KRI within the organization can have unique target and threshold limits. KRI values are used to record the actual value of an indicator at a specific point in time.

You can create and associate a KRI from the task view of a parent object type (for example, Risk, Control, Business Entity). From the task view of a KRI object, you can associate one or more parent business entities, risks or controls, and create, view, or edit one or more KRI values.

Note: You can associate KRIs with controls. Some KRIs can function like control indicators by signaling that a control is not working properly. For example, you set up several security perimeter controls with an associated KRI. If your company experiences a significant number of security breaches, the associated KRI can indicate that your security perimeter controls are not effective.

KRI values are used to record the actual value of an indicator at a specific point in time.

You can access the **KRIs** and **KRI Values** menu items by clicking  > **Indicators**.

Incidents

An incident is an occurrence that has a potentially adverse effect on your enterprise. Create an Incident object to record information, such as the person responsible for investigating the incident and other related data. The Incident object is used by a workflow to facilitate incident analysis. Categories that apply to incidents include Regulatory Compliance, Legal Compliance, Information Security, and IT.

Incidents are stored under the Business Entity or IT Resource where the event occurred and associated secondarily to an impacted Mandate or Policy.

Waivers

Waivers give you the ability to document, process and manage the lifecycle of exceptions to Corporate Policies, InfoSec Policies, IT Policies, or Regulatory Compliance Requirements. Waivers can be associated to Business Entities, Policies, Procedures, Requirements, Risks, Controls, Baselines, and Resources.

Some business examples of exceptions for which waivers might be requested include the following:

- Deviation from Policy (such as corporate, information security, and IT policies)
- Accepting Risk
- Authority to Operate (ATO)
- Interim ATO - allows a process to move forward prior to receiving certification (part of NIST guideline 800-37)

From the Task View of a Waiver object, you can associate parent objects, attach files or links, and edit fields.

To see a history of changes, go to the **Activity** tab for the object.

KPIs and KPI values

KPIs (Key Performance Indicators) are components of the risk monitoring process and are used to provide leading or lagging indicators for potential risk conditions. Each instance of a KPI within the organization can have unique target and threshold limits. The KPI Value object type records the value of a KPI object at a specific point. Create a KPI object, and then periodically (daily, weekly, monthly) create a KPI Value object so you can detect trends.

A KPI object can be associated with one or more parent object types (such as, Business Entity, Control, Control Plans, Process, Sub-Process). Typically, you create and associate a KPI from the task view of a parent object type.

You can access the **KPIs** and **KPI Values** menu items by clicking  > **Indicators**.

Policies

Policies represent internal guidelines that are adopted by the Board of Directors or senior governance body within an organization. The text of a Policy can either be stored in standardized fields on the object or as an attachment to the object. Policies typically have a distinct lifecycle from Draft to Published to Expired, as well as a review and approval process. Draft policies typically reside in the Organizational Business Hierarchy, while Published and Expired Policies typically reside in reference Library entities. Policies are also often mapped to applicable Mandates in the Library to which they relate.

Policy review comment

Policy Review Comments support and facilitate the review and approval process of Policies and Procedures by Subject Matter Experts and Compliance Personnel.

Procedures

Procedures represent the what, where, when, and how of how policies are implemented in an organization. The text of Procedures is typically stored in the fields on the object. Typically, Procedures are represented as children of a Policy and reside in the same entity structure as its parent Policy.

Campaigns

The Campaign object is part of the Policy Awareness capability and is used to manage the project management aspects of an awareness campaign. It is also used to define the requirements and criteria

that identify which employees need to read and attest to each Policy. Campaigns are typically created in the Published Policy Hierarchy.

Employees

The Employee object is part of the Policy Awareness Capability. It is used to capture information about individual employees such as the name, title, email, region, department, or status. Information from the employee profile is then matched against the Attestation Requirements that are defined on a Campaign to determine which Employees need to attest to each Policy. Employee data is typically derived from an HR system export, loaded via Online FastMap, and resides in the reference Employee Business Entity. It is a best practice that the Employee Name field matches the user's username.

Attestations

The Attestation object, part of the Policy Awareness capability, is used to capture an employee affirmation that they have read and understood a policy. An Attestation's primary parent is the Employee record and the secondary parent is the associated Campaign.

Regulators

The Regulator object is part of the Regulator Interaction Management capability and provides the ability for organizations to create a single inventory of all Regulators with which they interact. Regulators are typically created in a reference Library Business Entity. The object is a child of Business Entity and can be associated to Mandates and Regulator Interactions.

Regulator Interactions, RI categories, RI requests

The Regulator Interaction object is part of the Regulator Interaction Management capability. The Regulator Interaction object provides the ability to manage the interactions, communication, internal work, review, and approvals that are associated with external regulators such as inquiries, submissions, filings, exams, and meetings. For complex interactions such as exams, you can use the RI Component and RI Sub-Component objects to break the interaction into smaller components or track follow-up inquiries from the regulator. Regulator Interaction can be mapped to the following parent objects: Regulator, Mandate, Sub-Mandate, Requirement, Policy, Procedure, and Control. These parent associations enable a user to link objects that might be at issue in the Regulator Interaction and to identify users who are relevant to those objects and who might need to be consulted when responding to the regulator. Individual tasks that are related to the management of and response to the regulator interaction might be assigned to users through Regulatory Task child objects.

RI categories

The RI Component object (formerly labeled RI Category) is part of the Regulator Interaction Management capability and is used as the middle tier of the three-tier object model (Regulator Interaction, RI Component, and RI Sub-Component). The object is used to break down a complex Regulator Interaction into smaller, more manageable records or to link a follow-up inquiry from a regulator to the parent Regulator Interaction object. Additionally, RI Component can be mapped to the following parent objects: Mandate, Sub-Mandate, Requirement, Policy, Procedure, and Control. These associations enable a user to link objects that might be at issue and to identify users relevant to those objects and who might need to be consulted when responding to the regulator. Individual tasks related to the management of and response to the regulator interaction can be assigned to users through Regulatory Task child object.

RI requests

The RI Sub-Component object (formerly labeled RI Request) is part of the Regulator Interaction Management capability and is used as the last tier of the three-tier object model (Regulator Interaction, RI Component, and RI Sub-Component). The object is used to break down a Regulator Interaction and RI Component into smaller, more manageable records. Additionally, RI Sub-Component can be mapped to the following parent objects: Mandate, Sub-Mandate, Requirement, Policy, Procedure, and Control. These associations enable a user to link objects that might be at issue and to identify users relevant to those

objects and who might need to be consulted when responding to the regulator. Individual tasks related to the management of and response to the regulator interaction can be assigned to users through Regulatory Task child objects.

Regulatory changes and regulatory tasks

The Regulatory Change object is part of the Regulatory Change Management capability. It supports the ability to track regulatory changes, assess the impact of a change on the organization, communicate the change internally to the appropriate people, and drive internal processes in response to the change.

The Regulatory Task object is used to assign tasks to OpenPages users when the task is related to one of the following parent objects: Project, Policy, Regulatory Change, Regulator Interaction, RI Component, or RI Sub-Component. A Regulatory Task can also be associated to a Business Entity.

Chapter 17. Using IBM OpenPages Financial Controls Management

IBM OpenPages Financial Controls Management reduces the time and resource costs associated with ongoing compliance for financial reporting regulations.

IBM OpenPages Financial Controls Management combines powerful document and process management with rich interactive reporting capabilities in a flexible, adaptable easy-to-use environment, enabling CEOs, CFOs, managers, independent auditors and audit committees to perform all the necessary activities for complying with financial reporting regulations in a simple and efficient manner.

IBM OpenPages Financial Controls Management allows users to easily see the status of their financial controls documentation project, and provides a secure repository for the storage of their internal controls documentation.

Key features include:

- Financial Controls Management Repository, which logically presents processes, risks and controls in many-to-many and shared relationships at multiple levels, and enables file attachment capability and action plans for processes, risks, controls and tests at all levels.
- Flexible automation, which provides notification and completion of financial controls management activities, such as design review, operating review and certification.
- Reporting, monitoring and analytics.

OpenPages Financial Controls Management objects

This topic provides information about the OpenPages Financial Controls Management objects.

Sub-Accounts

A Sub-Account represents a smaller, more targeted line item that is part of a larger parent Account (or of another Sub-Account). Each Sub-Account object can be associated with parent Account or Sub-Account objects.

Assertions

The Assertion object is used to link a control directly to the account (or sub-account) it affects and to document which assertions it covers for the particular account or sub-account.

A common practice is to store the type of assertion that the control is covering as a data field on the Assertion object. Create an Assertion object from the task view of a parent Account, Sub-Account, or Control object type.

Which object types and actions are available on a page depends on your setup and permissions.

Accounts

Accounts correspond to one or more line items on a financial report. Each account is affected by recurring Processes. These Processes can introduce Risks that must be documented during the financial controls documentation project. An account is identified as significant based on factors such as size, complexity of the processes that operate on the account, or if the account is associated with new product lines within the business. The risks that might materialize and have material effect on the account are identified by consideration of the processes that operate on the account.

Chapter 18. Using OpenPages Regulatory Compliance Management

IBM OpenPages Regulatory Compliance Management (RCM) supports organizations in breaking down regulations into a catalog of requirements, evaluating its impact to the business, and creating actionable tasks.

As a solution it allows firms to:

- Maintain a repository of regulations and requirements that they must comply with
- Identify and create a catalog of requirements that fulfill the regulations
- Map regulatory requirements to their internal control framework
- Create groupings of requirements into Compliance Themes
- Conduct assessments of regulatory requirements under Compliance Plans
- Ingest, direct, and respond to regulatory events supplied by third-party data providers
- Record, organize, and respond to regulator interactions, including regulatory inquiries and examinations

You can use the RCM Theme Deployer to create the theme structure for business entities. For more information, see [“Compliance Plans and Compliance Themes” on page 112](#).

OpenPages Regulatory Compliance Management objects

This topic provides information about the IBM OpenPages Regulatory Compliance Management objects for regulatory compliance management.

Ascent Supporting Information

The Ascent Supporting Information object stores supporting information that is imported from Ascent. Supporting Information is regulatory text that does not rise to the level of a legal requirement, but provides additional guidance, details, and so on to help entities to understand requirements and impact of the regulation. The Ascent Supporting Information object type has one parent, Requirement.

Compliance Plan

Compliance Plans allow for the creation of an overall plan to address regulatory requirements in a structured setting, or to structure a set of regulatory tasks. For example, a Compliance Plan might be created to track regulatory tasks, or to conduct compliance assessments against various regulatory requirements. One or multiple Compliance Themes can be grouped into an overall Compliance Plan for the organization.

Compliance Plan Eval

Compliance Plan Eval objects are children of the Compliance Plan object. Compliance Plan Eval objects are used to capture values that are provided as part of the compliance assessment that is captured on the Compliance Plan. A Compliance Plan Eval record is created and populated as the last step in the Compliance Plan BE Assessment and Compliance Plan Library Assessment workflows.

Compliance Theme

Compliance Themes allow users to organize regulatory requirements into themes for assessment purposes. This allows for assessing compliance requirements beyond the typical business entity approach, by grouping regulatory requirements across themes that impact across the organization. Sample themes can include data privacy, governance, accountability, etc. This allows users to assess the impact of regulations not just within business entities, but across themes that touch on multiple areas of the organization.

Compliance Theme Eval

Compliance Theme Eval objects are children of Compliance Theme objects. Compliance Theme Eval objects are used to capture values that are provided as part of the compliance assessment that is captured on the Compliance Theme. A Compliance Theme Eval record is created and populated as

the last step in the Compliance Theme BE Assessment and Compliance Theme Library Assessment workflows.

Mandate

Mandates represent external items with which organizations need to comply, such as laws, regulations, and standards. Content can be pulled from third-party providers, such as UCF, Ascent Reg Tech, or Wolters Kluwer. Mandates are represented in a Library Business Entity structure, and are not replicated throughout the system.

For example, an insurance company has a Mandate object for HIPAA and another Mandate object for GLBA. You can associate the same mandate with different groups within your organization. Privacy mandates, for example, might apply to payroll, insurance services, legal, and IT departments.

Obligation

The Obligation object type represents the normalized and harmonized "things you need to accomplish" to comply with all of the obligation's associated Mandate, Sub-Mandate, and Requirement objects.

Obligation objects accomplish two primary purposes: they translate the often difficult and wordy legal jargon of Mandates/Sub-Mandates/Requirement into plain English, and they use the commonality across multiple Mandates/Sub-Mandates/Requirements. For example, you might have many Sub-Mandates and Requirements across numerous Mandates that require the use of strong passwords. A single Obligation object can document the details for strong passwords. By complying with this single Obligation, IT can satisfy many Mandates, Sub-Mandates, and Requirements.

Obligation Evaluation

Once users have mapped internal controls to Obligations, users can conduct an evaluation of how well they are operating in relation to the identified obligation. Users can evaluate the operating effectiveness and design effectiveness of controls within the scope of a compliance theme

Project

A project is designed to organize regulatory tasks into an overall compliance project. For example, there may be regulatory changes that need to be addressed in the compliance framework; users can create a project to identify and assign tasks.

Reg-Track Regulatory Event

The Reg-Track Regulatory Event object enables the direct ingestion of regulatory event feeds from Reg-Track into IBM OpenPages Regulatory Compliance Management.

Reg-Track Regulatory Event Series

The Reg-Track Regulatory Event Series object is a collection of Reg-Track Regulatory Events that have been assigned the same Reg-Track Series ID within the Reg-Track feed. The grouping of Reg-Track Regulatory Events within the Reg-Track Regulatory Event Series allows changes to be tracked from proposed to final stage in the regulatory change evolution.

Regulator

The Regulator object is part of the Regulator Interaction Management capability and provides the ability for organizations to create a single inventory of all Regulators with which they interact. Regulators are typically created in a reference Library Business Entity. The object is a child of Business Entity and can be associated to Mandates and Regulator Interactions.

Regulator Interaction

The Regulator Interaction object is part of the Regulator Interaction Management capability. The Regulator Interaction object provides the ability to manage the interactions, communication, internal work, review, and approvals that are associated with external regulators such as inquiries, submissions, filings, exams, and meetings. For complex interactions such as exams, you can use the RI Component and RI Sub-Component objects to break the interaction into smaller components or track follow-up inquiries from the regulator. Regulator Interaction can be mapped to the following parent objects: Regulator, Mandate, Sub-Mandate, Requirement, Policy, Procedure, and Control. These parent associations enable a user to link objects that might be at issue in the Regulator Interaction and to identify users who are relevant to those objects and who might need to be consulted when responding to the regulator. Individual tasks that are related to the management of and response to the regulator interaction might be assigned to users through Regulatory Task child objects.

Regulatory Change

The Regulatory Change object is part of the Regulatory Change Management capability. It supports the ability to track regulatory changes, assess the impact of a change on the organization, communicate the change internally to the appropriate people, and drive internal processes in response to the change.

Regulatory Initiative

The Regulatory Initiative object is a child of the Business Entity and captures descriptive information about regulations that impact an organization. Regulatory Initiatives represent a broader grouping of regulations. For example, Anti-Money Laundering could be a Regulatory Initiative that includes several different money laundering regulations that organizations must comply with.

Regulatory Task

The Regulatory Task object is used to assign tasks to OpenPages users when the task is related to one of the following parent objects: Project, Policy, Regulatory Change, Regulator Interaction, RI Component, or RI Sub-Component. A Regulatory Task can also be associated to a Business Entity.

Requirement

The Requirement object details specific requirements, found in the related Mandate or Sub-Mandate object, that the organization needs to adhere to in order to be in compliance.

Requirement Evaluation

Once users have mapped internal controls to requirements derived from regulations, users can conduct an evaluation of how well they are operating vis-à-vis the identified requirement. Users can evaluate the operating effectiveness and design effectiveness of controls in within the scope of a compliance theme.

Requirement Evaluation Value

Requirement Evaluation Values are used to record the actual value of requirement at a given point in time within the scope of a Requirement Evaluation.

RI Component

The RI Component object (formerly labeled RI Category) is part of the Regulator Interaction Management capability and is used as the middle tier of the three-tier object model (Regulator Interaction, RI Component, and RI Sub-Component). The object is used to break down a complex Regulator Interaction into smaller, more manageable records or to link a follow-up inquiry from a regulator to the parent Regulator Interaction object. Additionally, RI Component can be mapped to the following parent objects: Mandate, Sub-Mandate, Requirement, Policy, Procedure, and Control. These associations enable a user to link objects that might be at issue and to identify users relevant to those objects and who might need to be consulted when responding to the regulator. Individual tasks related to the management of and response to the regulator interaction can be assigned to users through Regulatory Task child object.

RI Sub-Component

The RI Sub-Component object (formerly labeled RI Request) is part of the Regulator Interaction Management capability and is used as the last tier of the three-tier object model (Regulator Interaction, RI Component, and RI Sub-Component). The object is used to break down a Regulator Interaction and RI Component into smaller, more manageable records. Additionally, RI Sub-Component can be mapped to the following parent objects: Mandate, Sub-Mandate, Requirement, Policy, Procedure, and Control. These associations enable a user to link objects that might be at issue and to identify users relevant to those objects and who might need to be consulted when responding to the regulator. Individual tasks related to the management of and response to the regulator interaction can be assigned to users through Regulatory Task child objects.

Sub-Mandate

Sub-Mandates represent external (or internal) sub-items with which the organization needs to comply. Content can be pulled from third-party providers, including UCF, Ascent Reg Tech, Thomson Reuters, and Wolters Kluwer. Typically, Sub-Mandates are represented in a Library Business Entity structure, and are not replicated throughout the system. Sub-Mandate is recursive, but Deloitte, UCF, Ascent Reg Tech, Thomson Reuters, and Wolters Kluwer content use exactly one level of Sub-Mandate. Sub-Mandates also support content for regulatory compliance. Sub-Mandates can be used to represent paragraphs that are derived from regulatory papers.

TRRI Regulatory Event

The TRRI Regulatory Event object enables the direct ingestion of regulatory event feeds from Thomson Reuters into IBM OpenPages Regulatory Compliance Management.

TRRI Regulatory Event Series

The TRRI Regulatory Event Series object is a collection of TRRI Regulatory Events that have been assigned the same Series ID within the TRRI feed. The grouping of TRRI Regulatory Events within the TRRI Regulatory Event Series allows changes to be tracked from proposed to final stage in the regulatory change evolution.

WK Regulatory Event

The WK Regulatory Event object enables the direct ingestion of regulatory event feeds from Wolters Kluwer into IBM OpenPages Regulatory Compliance Management.

Chapter 19. OpenPages Model Risk Governance objects

This topic provides information about the OpenPages Model Risk Governance objects.

OpenPages Model Risk Governance

IBM OpenPages Model Risk Governance (MRG) supports organizations in organizing and centralizing their Model Inventory.

As a solution IBM OpenPages Model Risk Governance provides a configurable and customizable platform, allowing firms to:

- Organize, document, and maintain an enterprise-wide inventory of models and their usages
- Document and track issues that are associated with models in a central location
- Record Model Change management governance activities
- Schedule, track, and manage Model Reviews and Validations
- Conduct periodic model attestations and model risk assessments
- Assign appropriate roles and responsibilities for model ownership and model risk management
- Monitor performance and status of their Model Risk Management program
- View the relationships between their Model Inventory and the relevant aspects of their Policy and Compliance obligations

IBM Watson Studio Integration

IBM OpenPages Model Risk Governance (MRG) includes an out-of-the-box integration with IBM Watson Studio.

IBM Watson Studio is a tool that monitors and measures outcomes from AI Models across their lifecycle and performs ongoing validations of AI Models. Organizations can include AI models in their Model Inventory and send the results of the performance monitoring directly to OpenPages.

Show me how

This video provides an overview of how OpenPages is integrated with IBM Watson Studio:

<https://youtu.be/JOGffAHGreQ>

Fields

The following fields are used in the integration with IBM Watson Studio:

- MRG-Model field group
 - Machine Learning Model
 - Monitored with Watson Studio
- MRG-Metric-Shared field group
 - Metric Type
 - Watson Studio Category
 - Watson Studio Description
 - Watson Studio Metric
 - Watson Studio Metric Value

- Watson Studio Subscription Name
- Watson Studio Subscription Type
- Watson Studio Sub-Category

Sample calculation

The Metric Value Update calculation is used in the integration with IBM Watson Studio.

Public Filter

A public filter for the Model object is used by IBM Watson Studio to locate Models in OpenPages that have the Monitored with Watson Studio field set to Yes.

User profiles

MRG profiles included the fields that support the integration.

OpenPages Model Risk Governance objects

This topic provides information about the IBM OpenPages Model Risk Governance objects.

Change Request

The Change Request object is a child of the Model and Model Deployment objects and allows for the creation and tracking of governance activities that are related to changes in Models and their deployments. The object captures data such as Change Type, Change Description and Status. It is supported by a workflow.

Committee

The Committee object is a child of the Business Entity and allows an organization to represent governance groups/committees. These can then be aligned to Models and can also be a parent of the Employee object. It can store information such as the Terms of Reference for a committee, frequency of meetings, and detail of the Chairperson.

Metric

The Metric object records the definition of a performance measurement that the organization chooses to track. A user sets the Metric Type, Yellow, and Red Thresholds and other collection information. A Metric is a child of Model Deployment and Model objects.

Metric Value

The Metric Value object records the result of the metric performance measurement. It is designed to behave in a way to allow the organization to store time series results of measurement.

Model

The Model object provides representation of the Models within an organization. At a theoretical level a model as a quantitative method, system or approach that applies statistical, economic, financial or mathematical theories, techniques and assumptions to process input data into quantitative estimates. Within the Model object, key model information can be represented, including: Model Description, Model Ownership, Model Status, Development lifecycle dates, Model Type and Category, and Model Risk Assessment data. A Model object is a child of a Business Entity and parent of Model Deployment objects.

Model Attestation

Model Attestation allows an organization to request a regular sign off or *attestation* of a Model. The MRG administrator periodically creates a set of blank Model Attestations, which are assigned to the respective Model Owners. Each Model Owner answers a set of questions about the Model and submits their Model Attestation.

Model Input

If an organization wants to adopt a more granular approach to model documentation, the Model Input object provides the ability to record the inputs. Fields include Input Owner, Type, Status, and Description. A Model Input object can also be the child of a Model Output object, which allows for the creation of Model chains at a detail level if the Model Link approach is not granular enough.

Model Link

If an organization wants to adopt a less granular approach to Model documentation, use Model Link, which is a broad-type association that does not provide explicit details of the feed from one model to another. It acts as a child of multiple models to allow for the generation of Model chains.

Model Output

If an organization wants to adopt a more granular approach to Model documentation, the Model Output object provides the ability to record the Outputs of the Model. The intended purpose is to record the Description and Overview of the Output from a governance point of view and not to record the Capital Model Result.

Model Risk Scorecard

Model risk assessments are performed during the development and documentation phase of a Model. They are also typically performed periodically after a Model is in production. The Model Risk Scorecard object is used to conduct this risk assessment. The user answers a number of questions about the Model. Model Risk Scorecard triggers calculate a risk score and determine the Model tier.

Model Entry

The Model Entry object is a child of Entity and a parent of the Model object. The usage of the Model Entry object is optional. Its primary purpose is to act as a library of Models during development.

Review

The Review object is used to record the scheduling and outcomes of any Model Review activity. It is the child of both the Model Deployment and Model objects. The object is intended to capture the outcomes of Reviews whether they are pre-implementation, post-implementation, and performed by second or third line of defense.

Model Deployment

The Model Deployment object is a child of Model. It is used as a key element of recording the deployment of one or more models.

Chapter 20. Using OpenPages Third Party Risk Management

IBM OpenPages Third Party Risk Management supports organizations in organizing and centralizing information about their vendors.

As a solution it provides a configurable and customizable platform, allowing firms to:

- Create, maintain, and document all vendors and engagements
- Classify or "tier" vendors as low, medium, or high criticality
- Use standard risk assessments to identify and mitigate risk in a specific way for individual vendors
- Leverage the questionnaire assessment capability to conduct vendor or engagement tiering using information that you gather with risk or compliance questionnaire assessments

In previous releases, IBM OpenPages Third Party Risk Management was named Vendor Risk Management. The original name and the acronym, VRM, still exist in internal names for profiles and role templates.

OpenPages Third Party Risk Management objects

This topic provides information about the IBM OpenPages Third Party Risk Management objects.

Contract

Contract objects are child objects of Vendor or Engagement objects. A Contract represents a business or legal agreement between a Business Entity and a Vendor or Engagement. A Contract contains additional, supporting information, for example, the timeframe of the contract or monetary information. Contracts are optional.

Engagement

Engagement objects are child objects of Vendor objects. An Engagement represents a single service that is provided by a Vendor. You use them to differentiate between various services and agreements you have with a Vendor. Engagements are optional. They can be subject to questionnaire assessments, risk assessments, or tiering. You can summarize and analyze risk that is associated with different Engagements. You can add a parent association to the process or sub-process that an Engagement supports.

Location

The Location object type is used to capture geography and location details that are needed in the contingency planning process. Location information can include, for example, the number of employees who work at a location, assets (such as computer equipment), and other location details.

RapidRatings Ratings

RapidRatings Ratings objects are used with the RapidRatings connector in IBM OpenPages Third Party Risk Management. The RapidRatings Ratings objects store financial ratings and are children of Vendor objects.

RiskRecon Ratings

RiskRecon Ratings objects are used with the RiskRecon connector in IBM OpenPages Third Party Risk Management. The RiskRecon Ratings objects store vendor ratings and scores at the category and subcategory levels. The RiskRecon Ratings objects are created under /BusinessEntity/Library/VRMLibrary/RiskRecon and are children of Vendor objects.

Supply Wisdom

The Supply Wisdom object stores risk ratings of Vendors that are imported from Supply Wisdom. The Supply Wisdom object type has one parent, Vendor.

Supply Wisdom Parent Alert

The Supply Wisdom Parent Alert object stores alert data that is imported from Supply Wisdom. The import creates Business Continuity Event objects for the incoming Alert data and associates the Alerts to the corresponding Vendor and Location objects in OpenPages.

Vendor

A Vendor represents a third-party company from which a firm procures goods or services. Vendors can have two types of child objects: Engagements and Contracts. Vendors can be subject to questionnaire assessments, risk assessments, or tiering. You can summarize and analyze risk associated with different Vendors. You can add a parent association to the process or sub-process that a Vendor supports.

Chapter 21. Using OpenPages Business Continuity Management

IBM OpenPages Business Continuity Management (BCM) is used by an organization, or group, to maintain or resume a predetermined level of operations during or after a disruptive event. All risks that can potentially impact the business during or following an event are identified.

Using BCM, organizations can build a framework for identifying critical assets and processes and creating company-wide business continuity plans.

BCM helps organizations to:

- Centralize business continuity data
- Establish, monitor, and test impact tolerance thresholds for identified important businesses services
- Perform business impact analyses to determine criticality of people, processes, and assets
- Develop business continuity plans, including, but not limited to, preparedness for disaster recovery, communication plans, equipment checklists, emergency readiness, employee logistics, and vendor checklists
- Test the effectiveness of your business continuity plan and identify and mitigate key risks
- Run workflows on a scheduled basis to ensure reviews of business services, business impact analyses, dependency mappings, and testing is conducted at regular intervals
- Visualize key management activities and monitor key performance and risk indicators with a user-friendly dashboard

BCM has built-in calculations to help organizations determine the criticality of processes to their business and to ensure alignment of recovery time and point objectives across assets and vendors that support critical business processes. Pre-built workflows allow organizations to draft, review, approve, and publish plans with triggers for expiry and archival. These plans can be mapped to the client's business impact analyses, policies, procedures, processes, locations, events, issues, and tests.

Show me how: BCM Overview

This video provides an overview of BCM.

<https://youtu.be/3EeMaF0ehiA>

Show me how: BCM Dashboard

This video provides an overview of the dashboard that is available for users who are assigned to the Business Continuity Management profile.

<https://youtu.be/Ce1ql-hTIpk>

Show me how: Business Continuity Plan object

This video provides an overview of the Business Continuity Plan object and how it is used in BCM.

<https://youtu.be/fb6dF9EjX3k>

Show me how: Business Impact Analysis object

This video provides an overview of the Business Impact Analysis object and how it is used in BCM.

<https://youtu.be/X636WXIpGg>

Show me how: Business Continuity Test Plan object

This video provides an overview of the Business Continuity Test Plan object and how it is used in BCM.

<https://youtu.be/A0WgGVd3mds>

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Glossary

In this glossary, you can find terms and definitions for IBM OpenPages with Watson

access control list (ACL)

A concept in computer security used to determine the permissions (Read, Write, Delete, and Associate) a user or group can have on the folder structure of an object type (such as, an Entity, Risk, or Test). ACLs provide a means to control who has access to what and with which permissions. ACLs can be assigned to groups and users via a role template.

Action menu

The menu that is displayed in views. To reveal menu items, hover your mouse pointer over a menu name. Your permissions determine which menus and items are available.

Actor ACLs

These are a set of administrator access rights (Manage, Lock, Unlock, Reset Passwords, Assign Roles, Browse) defined on users and groups. These access rights control the operations an administrator can perform on a particular user or group.

administrator

A user that is granted special permission to manage a Business Entity, including the assignment of Roles to users and groups.

application permissions

A list of permissions that allow groups and users to access certain activities, including administration, within the application (such as the ability to view, lock, or unlock objects, or create and delete reporting periods).

associations

Relationships that exist among objects, or between objects and attached files. Example: A sub-entity may be directly associated with a process or business function.

audit universe

The aggregate of all areas within an organization that can be audited.

business unit

One or more Entities, Processes or Sub-Processes.

CSV

Comma separated values. A type of file that uses a comma-delimited format.

group

A generic term that encompasses both organizational and security domain groups.

object

Any item that contains or receives information, such as Business Entities, Processes, Risks, Controls, Issues, Tests and so forth. In a security context, an object is the piece of data to which access control is applied (such as, Business Entity, Process, Sub Process, Risk Assessment). Also called "resource".

object type

A category or type of object, such as a Risks, Controls, Issues and so forth. In a hierarchy of objects, each object type has a set of allowed relationships with other object types.

organizational group

A group that is created by an administrator to organize users within an organization. Organizational groups are typically associated with security domain groups and other organizational groups.

resource

See "object".

Resource ACLs

These are a set of access rights (Read, Write, Delete and Associate) defined on the parent folder of an object. These access rights control the operations a user can perform on the folder and any objects under that folder.

role

An instance of a role template that is applied to a set of Users/Groups for a specific security context. Roles are granted to Users/Groups which allows them access to objects with certain permissions. Some examples of roles are: Process Owner, Control Owner, and Tester.

Role template

A security object that you can use to define all aspects of application security for various groups and users within a business unit. It contains access control definitions on folder structures for object types and application permissions. Role templates generally reflect the usual or expected function that a user or group plays within an organization. Some examples of Role templates that can be defined are Process Owner, Control Owner, and Tester. The template can then be applied to different Users/Groups for a specific security context.

security context point

A point defined in the OpenPages security model that you can use to assign roles to users and groups for controlling access and application permissions to objects under that security point.

security domain group

A group that is automatically created by the system when a business entity or subentity is created. Business entity security domain groups are located under the top level (root) **Security Domains** folder in the  > **Users and Security** > **Domains & Groups** task.

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